ICE Clear ACT User Guide

Version 7.9

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Introduction

ACT is a web-based application used to support give-up processing. The Member submits an executed transaction for give-up into the system, either by marking the trade for give-up through PTMS or via FIXML give-up API messages through use of a Member's back office / middleware system (herewith the Allocating Member). Once a trade has been marked for give-up it will appear in ACT where the Allocating Member can further manage the give-up process for each transaction. Once a give-up has been allocated, the opposite member can, after reviewing the transaction in detail, can claim or reject the transaction (herewith the Claiming Member) If a give-up has not been claimed, the Allocating Member has the ability to delete the give-up mark and process the trade again.

Please note for brevity, the term Member is used throughout this document to refer to both Energy Clearing Members and Exchange Members that access the ICE Clearing Systems.

Each user will be issued a unique user ID and password which is used to access both PTMS and ACT. Access to the ICE Clear Europe Systems can be requested from ICE Clearing Operations – iceuops@theice.com or +44 (0)20 065 7600. Access to ICE Clear U.S. systems can be requested from ICE Clear U.S. – iceclearus@theice.com or (312) 836-6718.

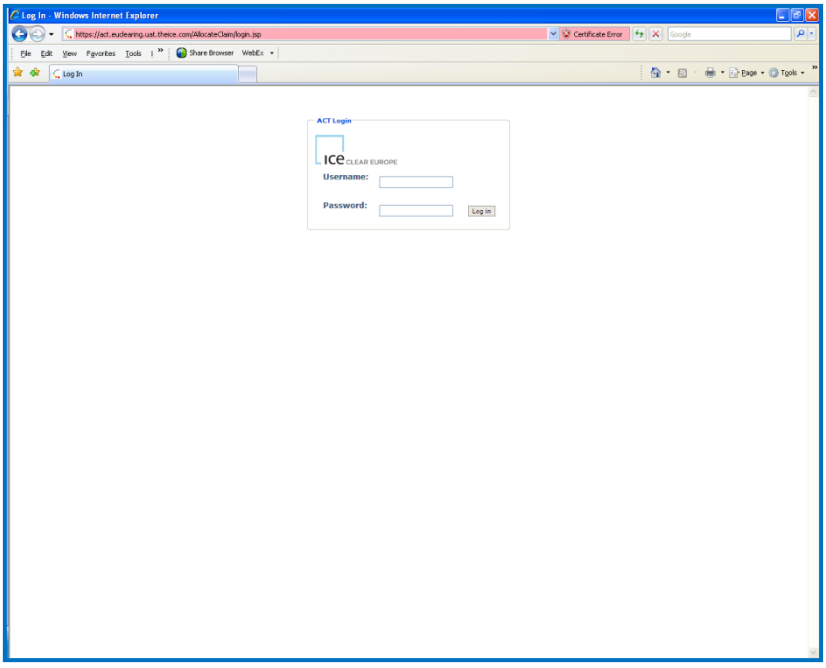
1 Accessing ACT

ACT is a web based application and can be accessed via the following URL:

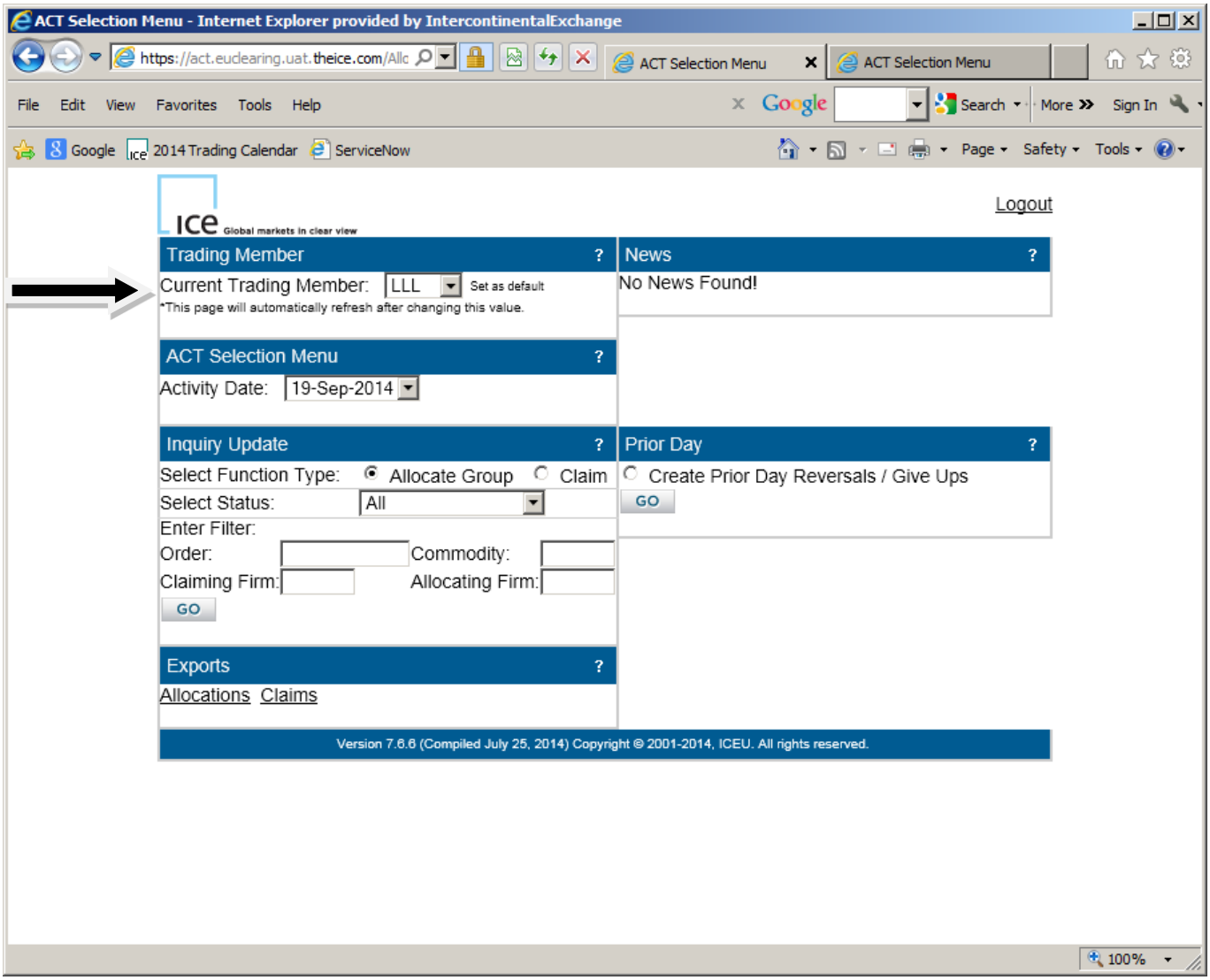
- ICCA: https://act.caclearing.theice.com
- ICEU: https://act.euclearing.theice.com
- ICUS: https://act.usclearing.theice.com

The links can also be accessed through the respective clearing organization technology pages which are available at www.theice.com, or by clicking the applicable link below:

- ICCA: https://www.theice.com/clear_canada_technology.jhtml
- ICEU: https://www.theice.com/clear_europe_operations.jhtml
- ICUS: https://www.theice.com/clear_us_technology.jhtml



1. Once the Username and Password has been authenticated, an ACT Selection Menu screen is displayed.
2. The Current Trading Member can be 'set as default' in the home screen of ACT, whenever the user logs in the system remembers the Trading Member selected as default.
3. ACT News: When there are Products expiring during the day the News section will shows the products expiring details in the news lists include the clearing date and when the products is expiring Otherwise, it shows no news found.

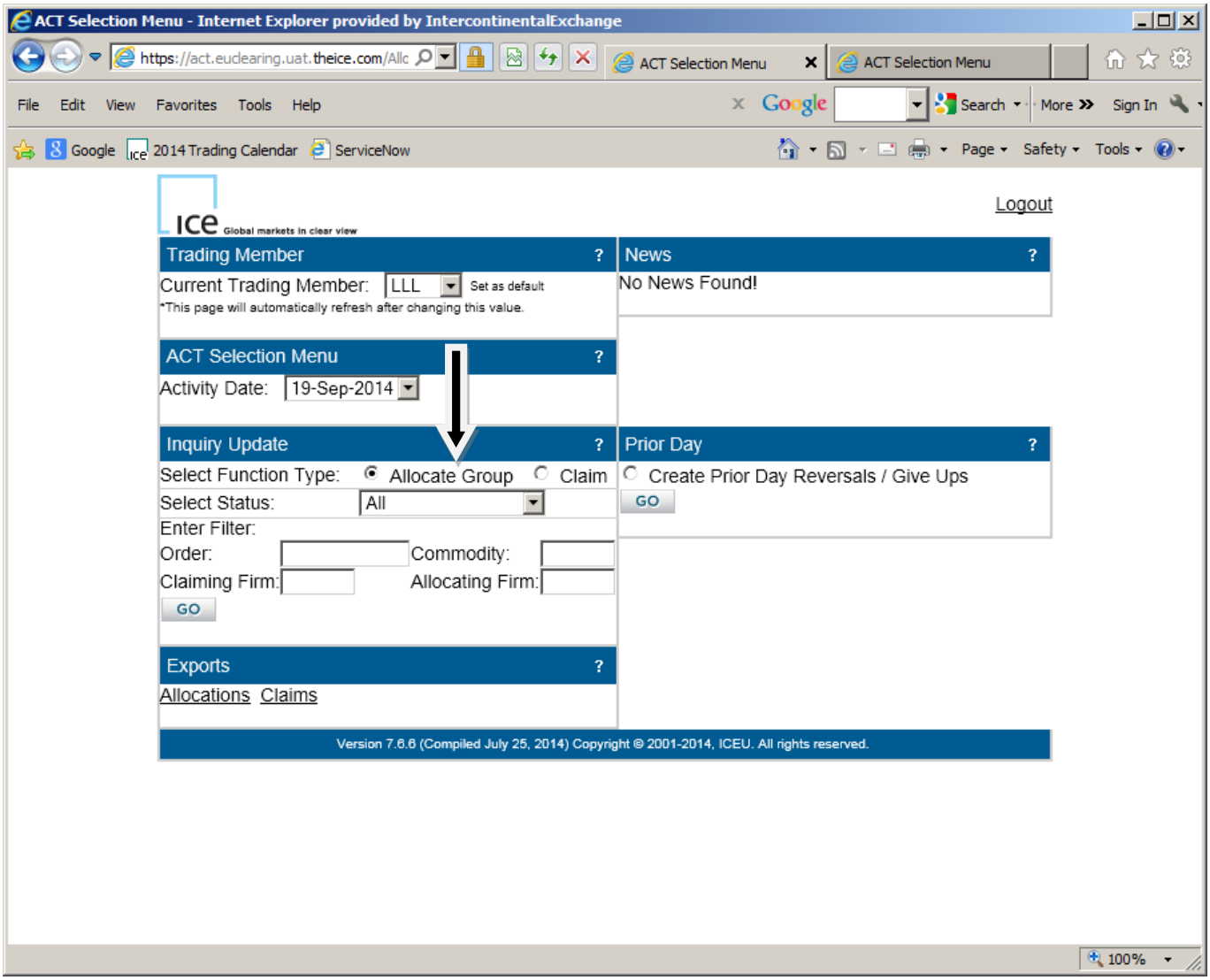


4. To begin reviewing transactions for give-up/claim, choose the appropriate Trading Member within the Current Trading Member dropdown box, located in the upper left hand corner of the screen (Please note that availability of the Members in the dropdown box is restricted according to the access permission on a per user basis).
5. Then select either the Allocate Group or Claim button for desired view/role. Also at this time, additional search/filter criteria can be entered in order to locate a specific give-up/claim transaction. A user can also select the status from this home screen too. Click the GO button to access the selected screen.
6. Towards the bottom of the home page there is a functionality to export all Allocated and Claimed business for top day business.
7. Users can view cleared trades from up to four prior business days by selecting the Create Prior Day Reversal/Give Ups option in the Prior Day section.

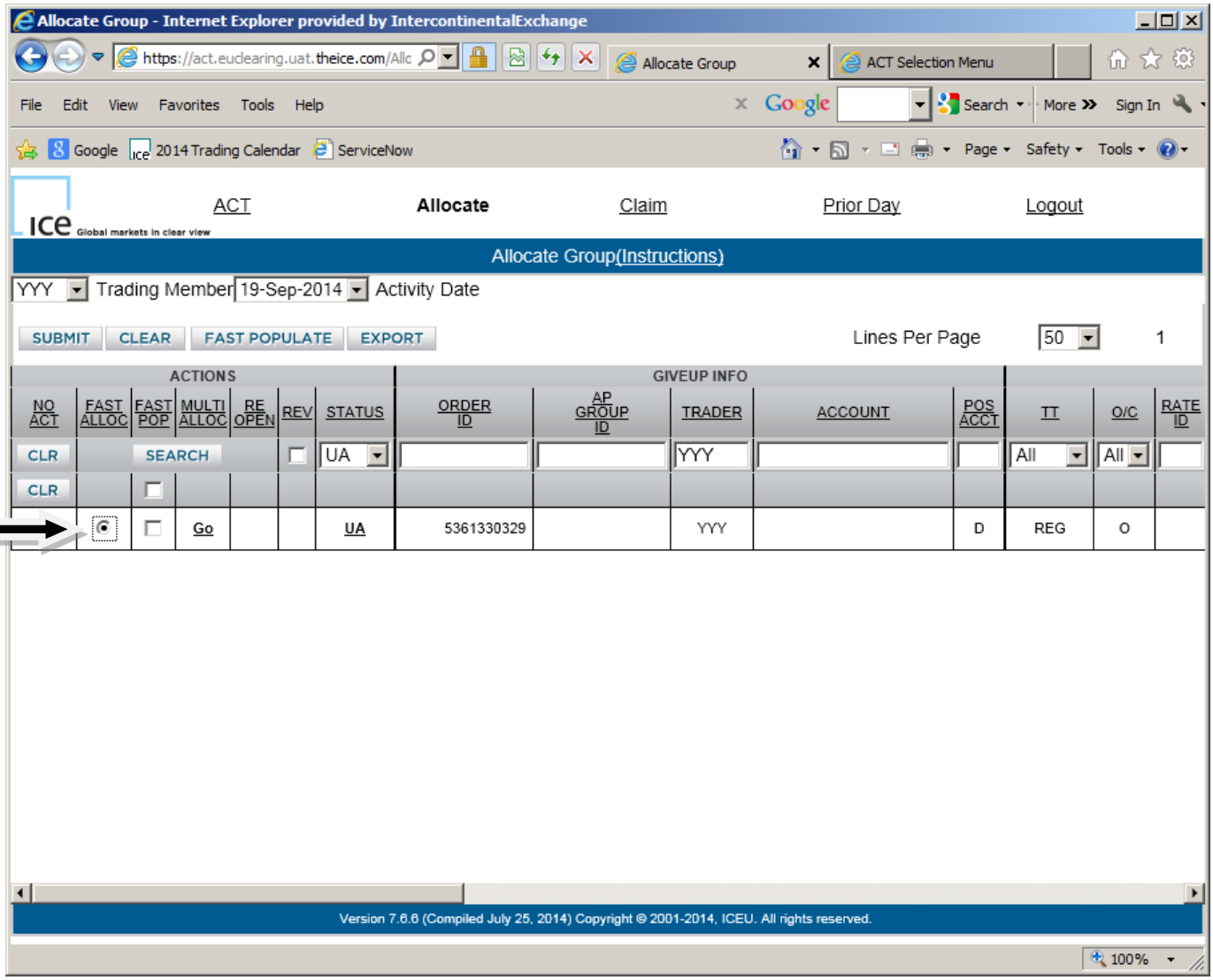
2 Allocating Give-Ups

2.1 Allocating a Give-Up to a Single Member and Account

From the ACT Selection Menu, select either the Allocate Group button and click the Submit button; or if already in one of the other ACT screens click on the Allocate link within the navigation bar at the top of the screen.

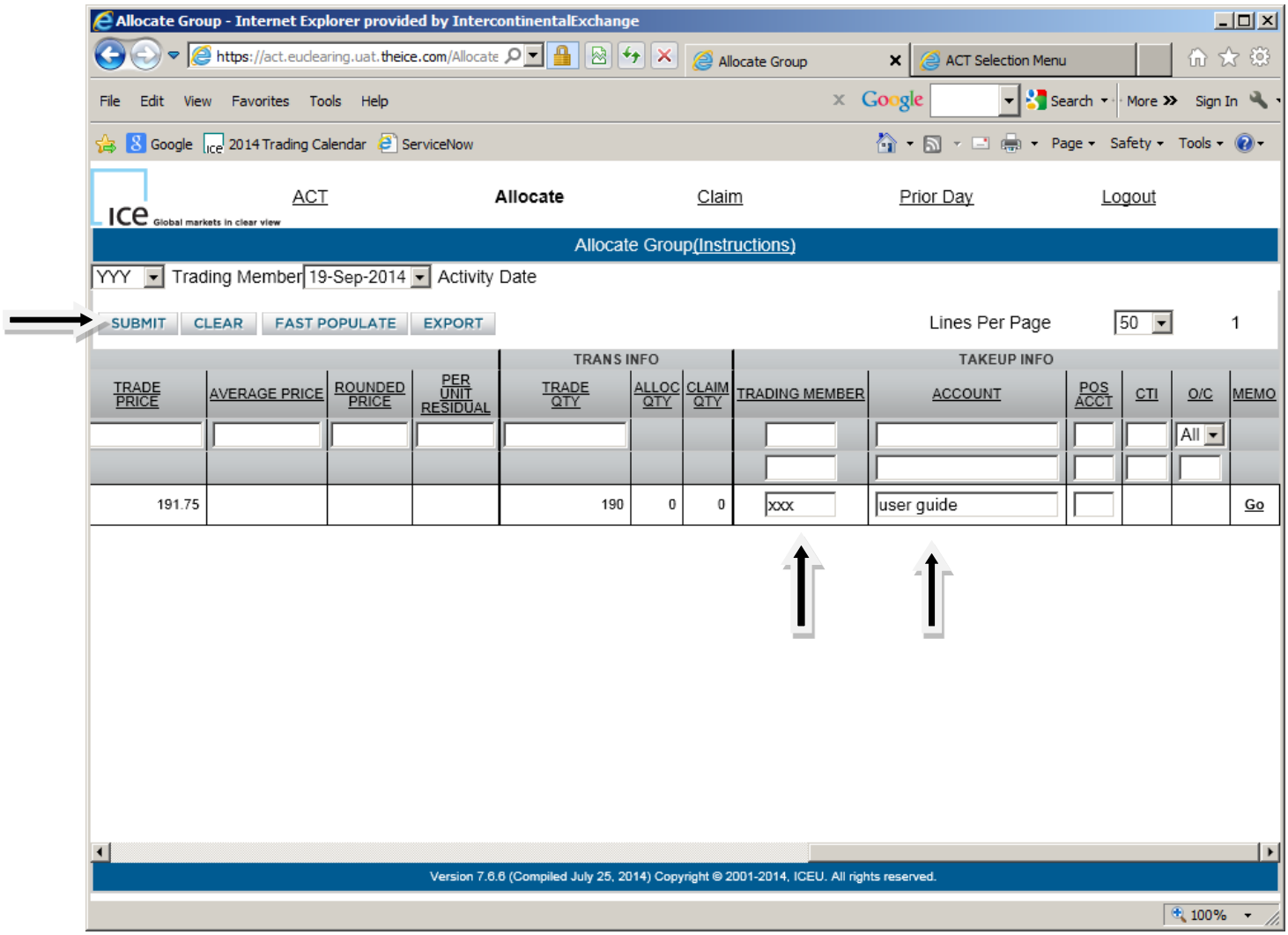


1. Once the screen has refreshed, the Allocate Group screen will be displayed. If desired, use the search feature to locate a specific give-up group to allocate.
2. Once in the screen the user can select the number of lines per page 10, 20, 50,100,400
3. Clear button to Clear the data entered in searchable fields
4. CLR button to clear the data entered in corresponding rows
5. Export button to export the transactions

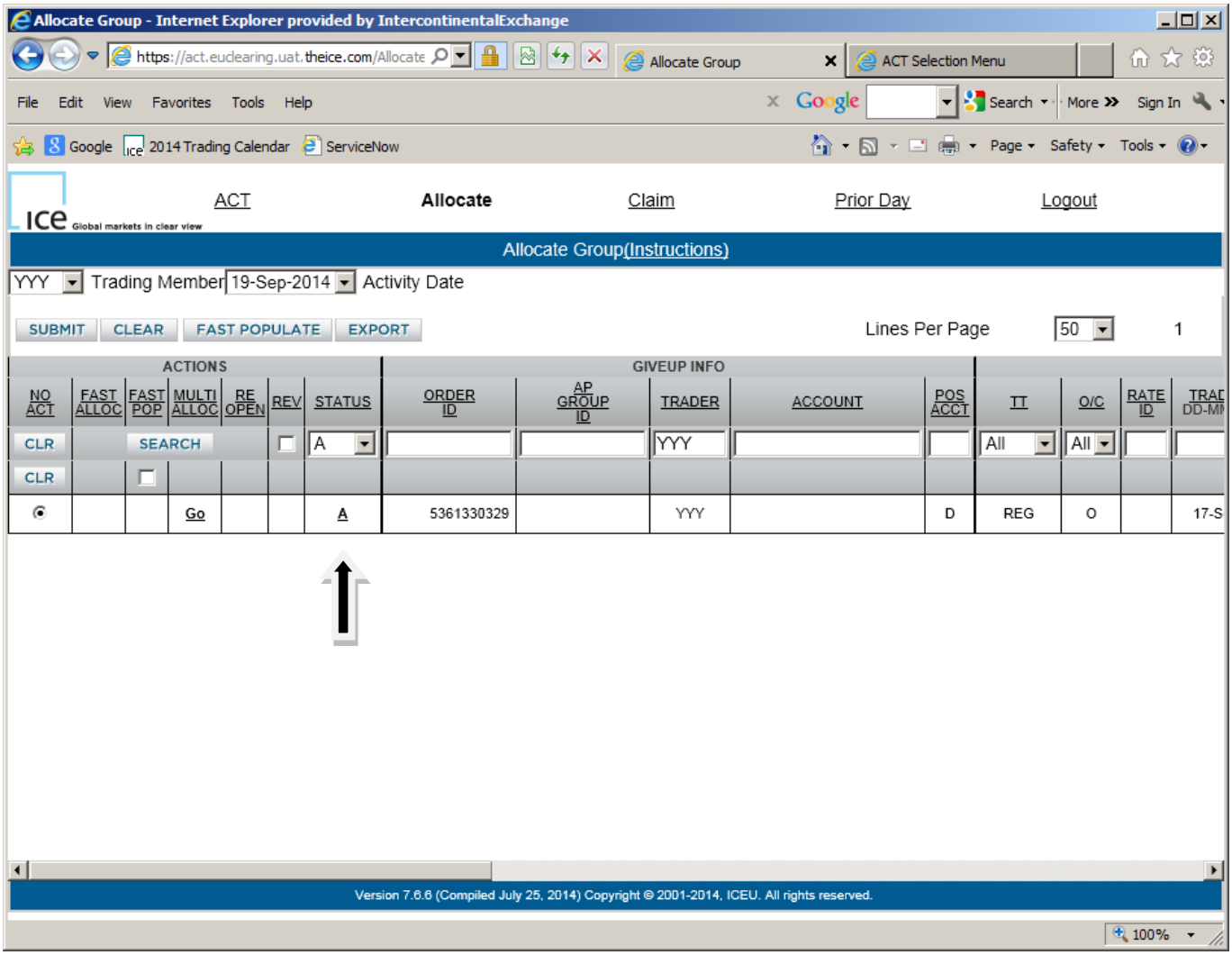


6. After locating the trade to be given-up, click the Fast Alloc button and enter the appropriate accepting information in the Take Up Info section on the right (Trading Member, Account, Position Account and CTI – IFUS and IFED). Please note that the Account, Position Account, Memo and CTI fields (IFUS and IFED) are not mandatory entries.
7. The Open/Close (O/C) indicator within the take Up Info defaults from the give up side after creating the allocation. By default the O/C value is 'O' if the product supports Close Outs the O/C field shows an editable box.
8. Trades can be filtered by selecting the status from the drop down including TT, O/C, B/S, P/C.
9. Order id, AP group id, Trader, Account, Pos acct, Rate ID, Trade date, Exch, Comm, Contract Period, strike Price, Trade Price, Average Price, Rounded Price, per unit Residual, Trade Qty, TM, Account , Pos acct , CTI are searchable fields

10. Now click on the Submit button.



11. After the screen has refreshed, the unallocated group (UA) will display a new status of Allocated (A). If the trade has not been accepted, ACT will allow modification of the Position Account, Account Reference and CTI (IFUS and IFED only) as long as the reallocation does not result in over-allocation of the transaction.



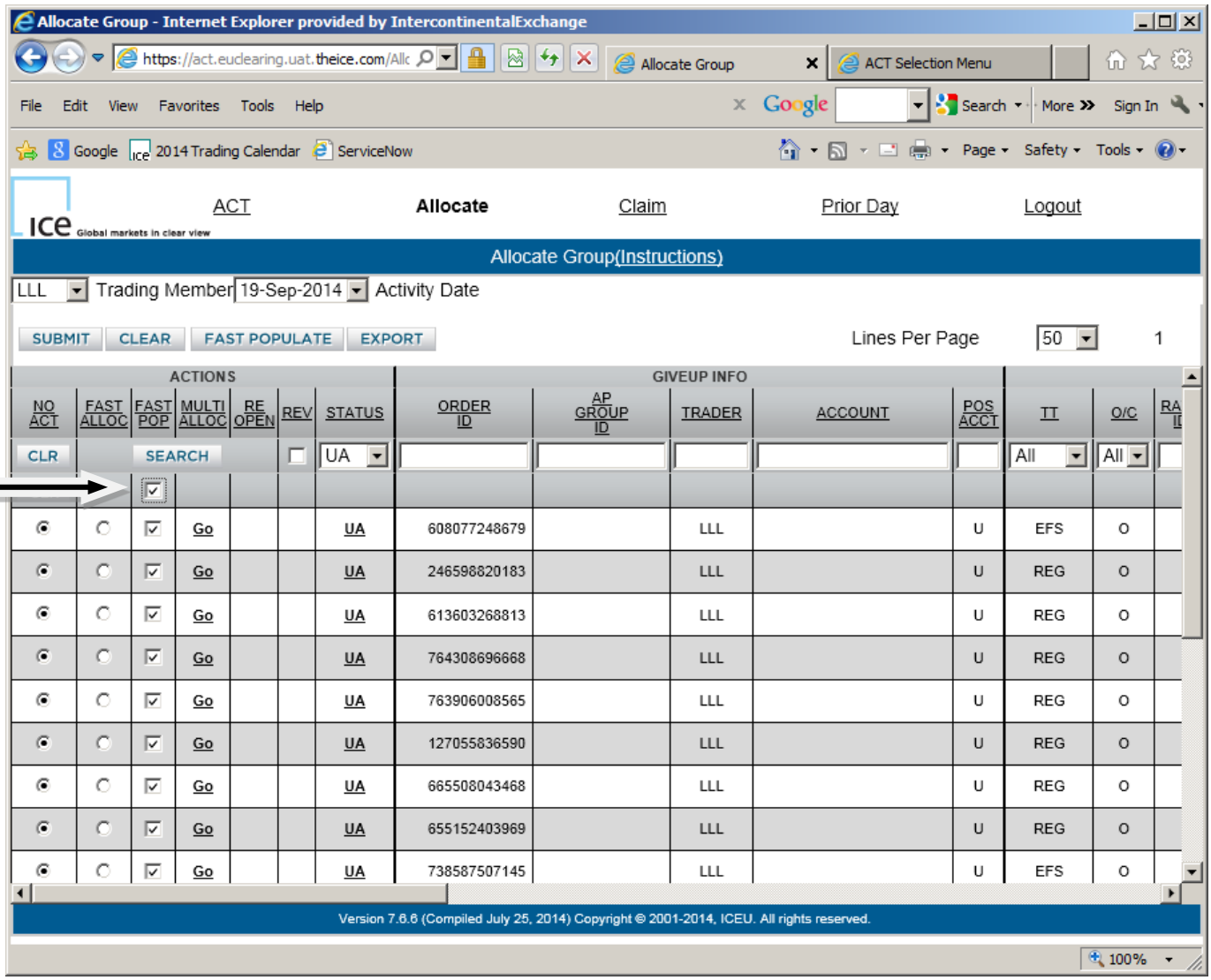
12. Multiple allocations in allocation detail screen in the Actions section can be created from fast populate.

13. An allocated Group (not Claimed) can be under allocated by replacing the quantity, in that case A status changes to UDA.

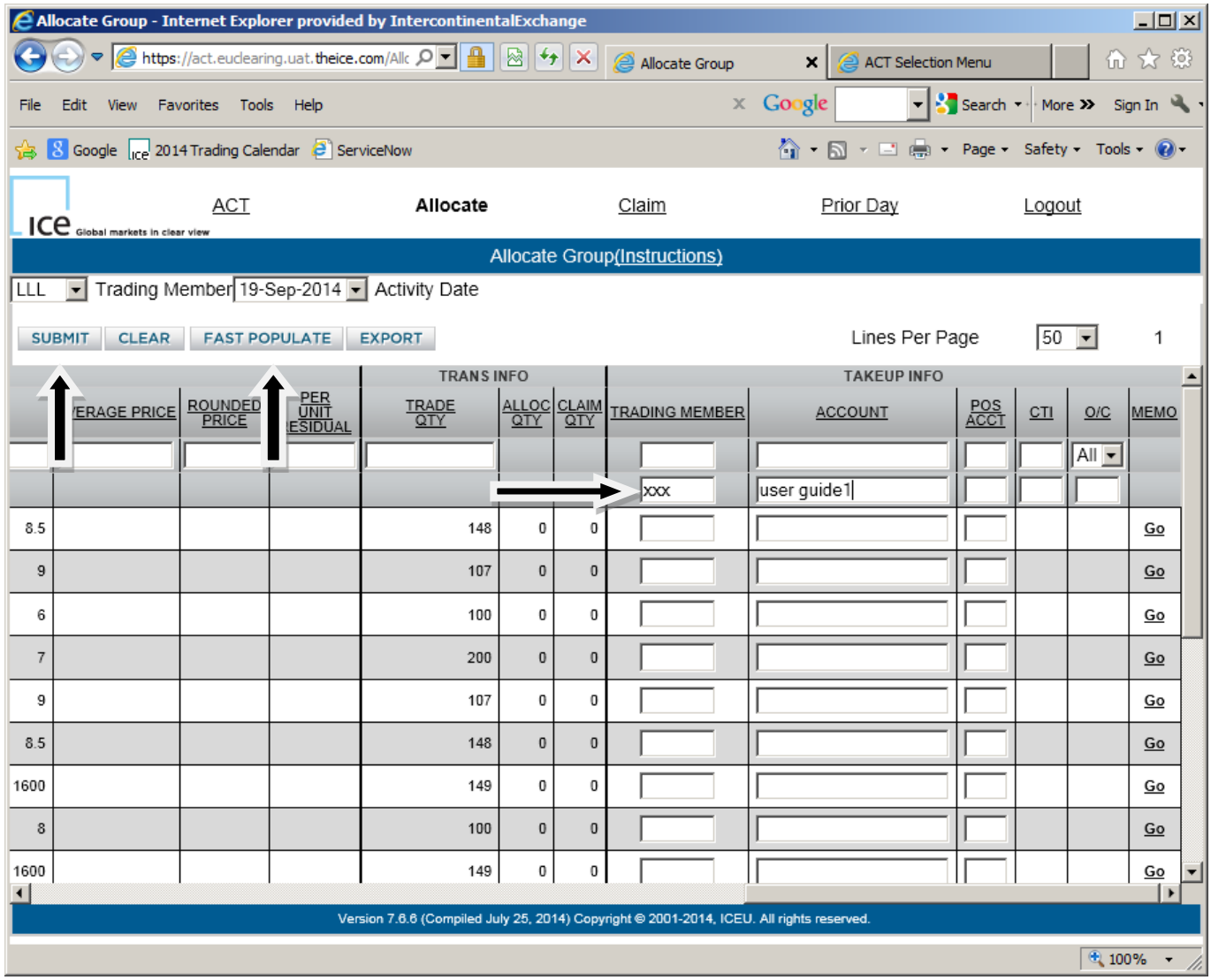
14. A rejected allocation can be deleted or reallocated to a different firm, in reallocating to a different firm status changes from REJ to A

2.2 Allocating a number of trades to one destination

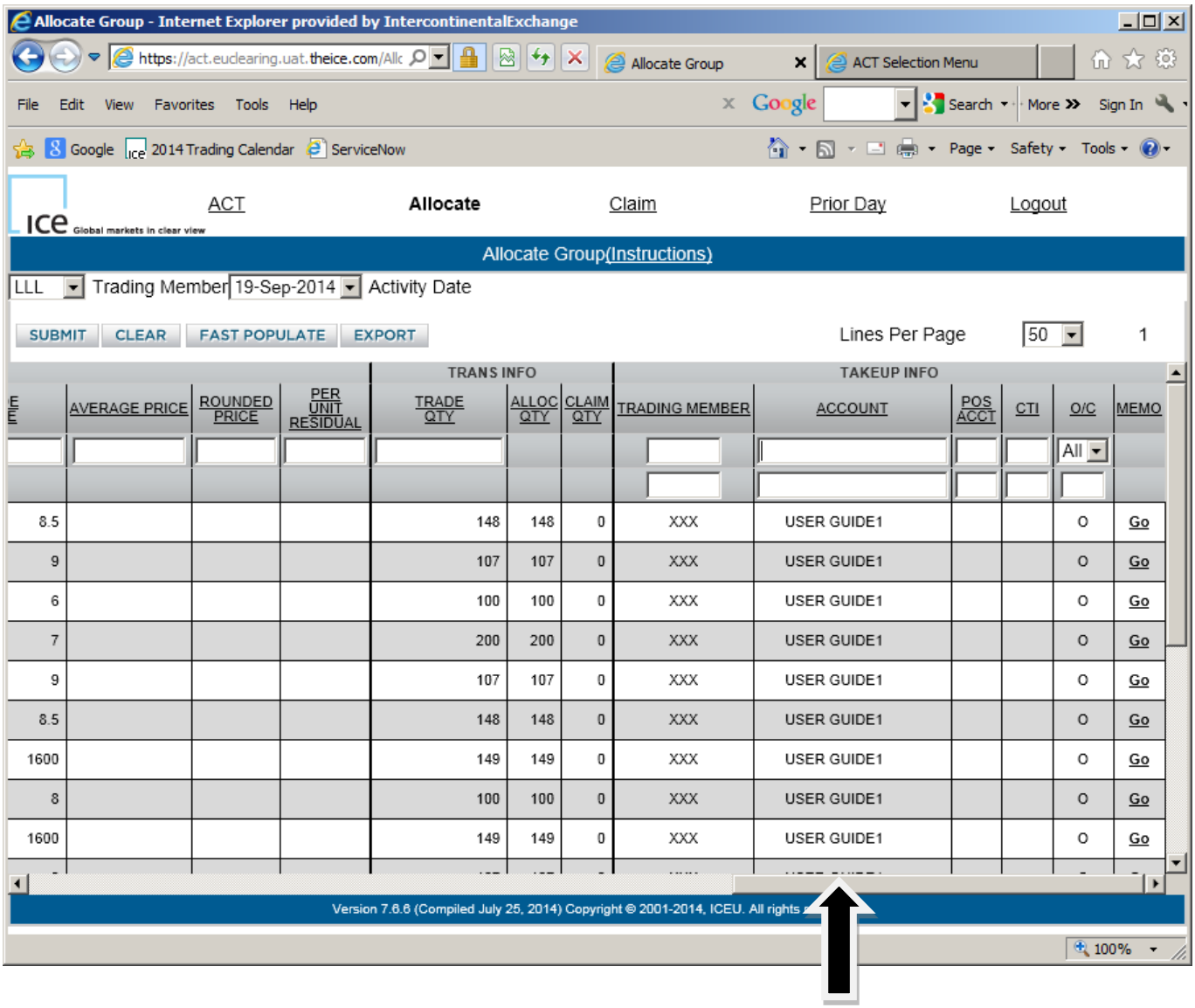
1. To allocate a number of trades to the one destination, find your trades in under the 'Allocate' screen. Click 'FAST POP'.



2. Scroll to the right along the same dark grey line as the Fast Pop tick box and populate the allocation details in the white boxes. Click FAST POPULATE and SUBMIT.

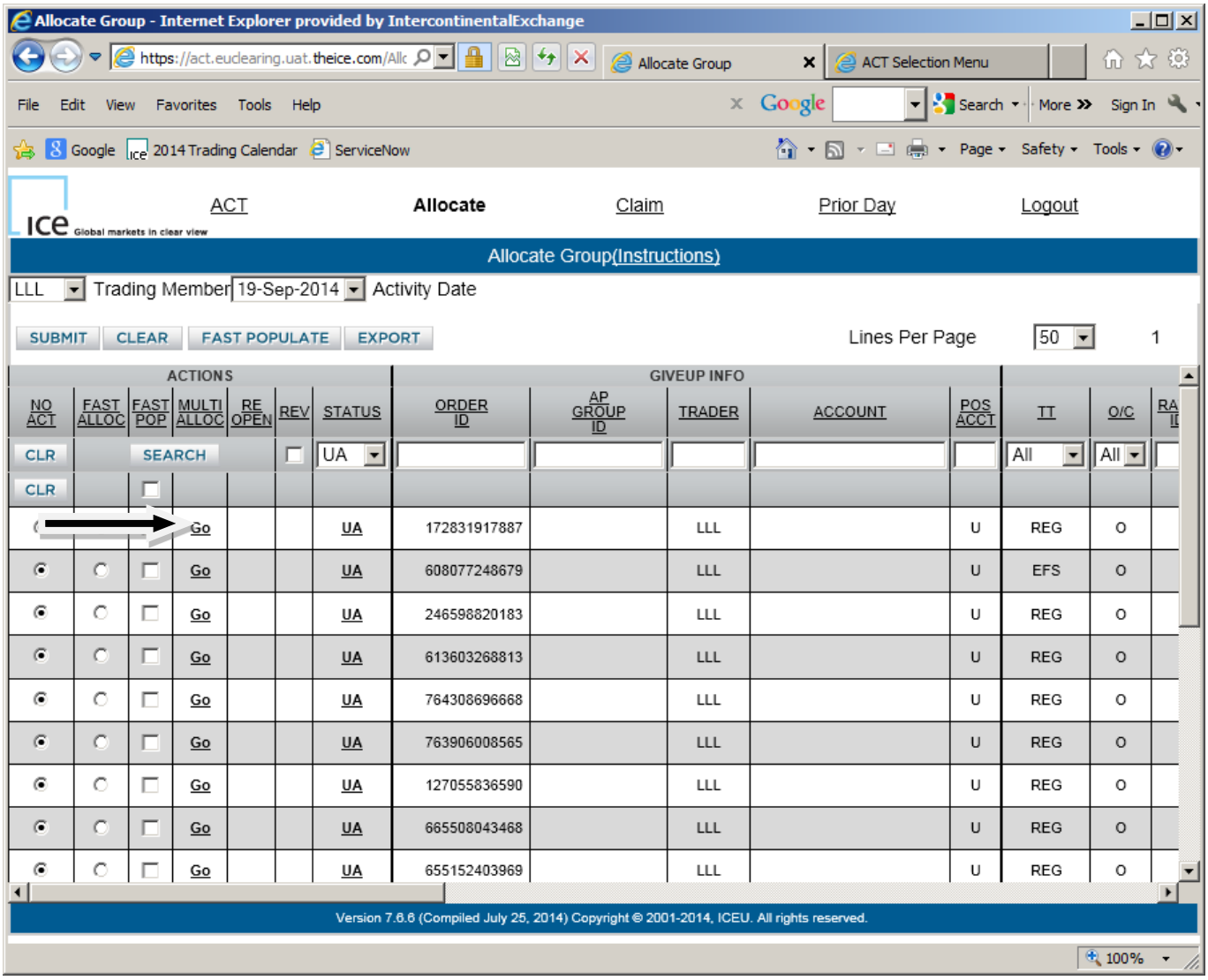


3. All of the trades that were on the screen will now be allocated to that one destination.



2.3 Multi-Allocate (Split) a Give-Up Group

1. From the Allocate Group screen, locate the group to be multi-allocated. Click on the Go link next to trade to be multi-allocated/split.


Allocate Group - Internet Explorer provided by IntercontinentalExchange
https://act.euclearing.uat.theice.com/Allc
Allocate Group
ACT Selection Menu
File Edit View Favorites Tools Help
Google 2014 Trading Calendar ServiceNow
ACT Allocate Claim Prior Day Logout
Allocate Group(Instructions)
LLL Trading Member 19-Sep-2014 Activity Date
SUBMIT CLEAR FAST POPULATE EXPORT
Lines Per Page 50 1
ACTIONS
GIVEUP INFO
NO ACT | FAST ALLOC | FAST POP | MULTI ALLOC | RE OPEN | REV | STATUS | ORDER ID | AP GROUP ID | TRADER | ACCOUNT | POS ACCT | TT | O/C
CLR SEARCH UA All All
Go UA 172831917887 LLL U REG O
Go UA 608077248679 LLL U EFS O
Go UA 246598820183 LLL U REG O
Go UA 613603268813 LLL U REG O
Go UA 764308696668 LLL U REG O
Go UA 763906008565 LLL U REG O
Go UA 127055836590 LLL U REG O
Go UA 665508043468 LLL U REG O
Go UA 655152403969 LLL U REG O
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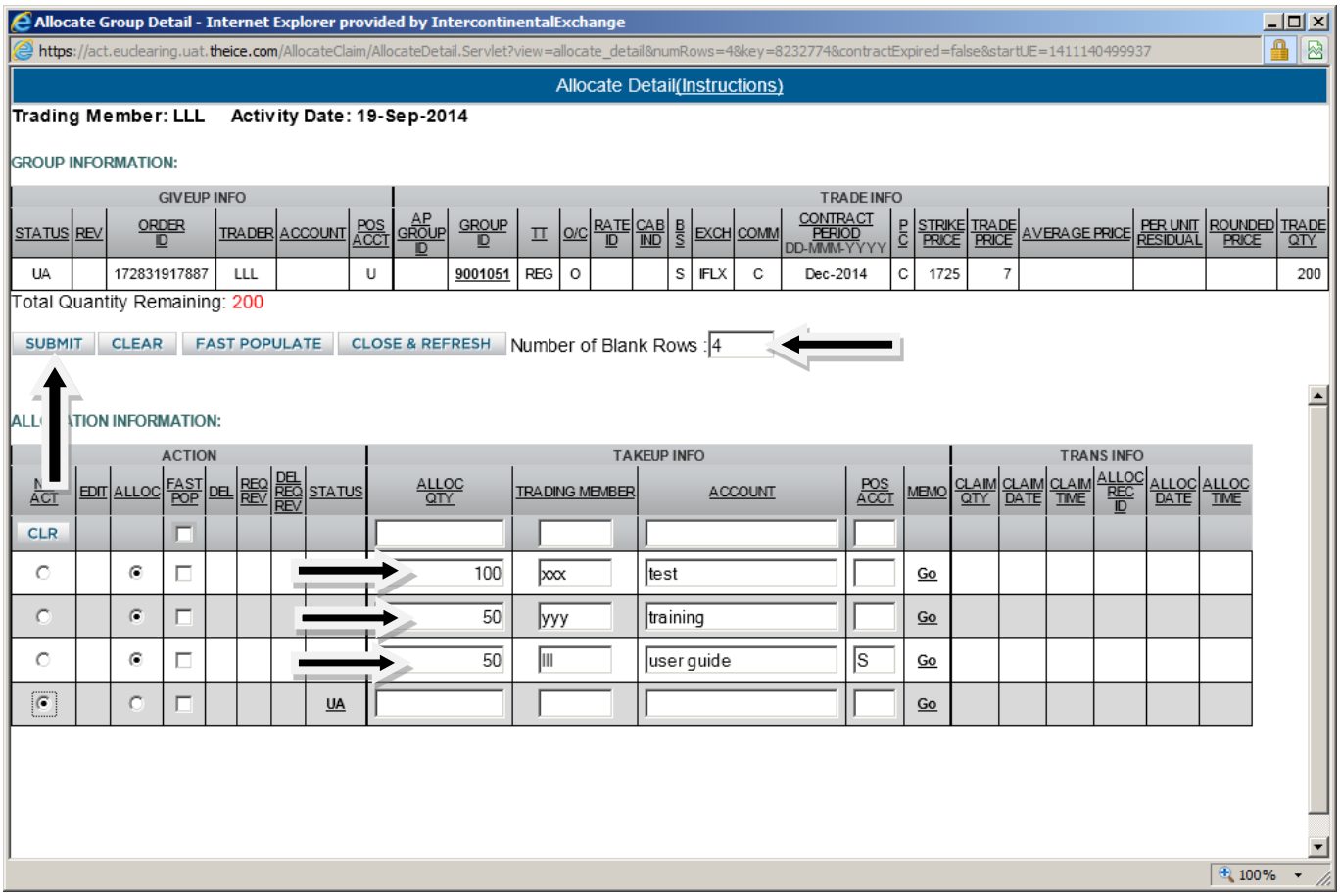
100%

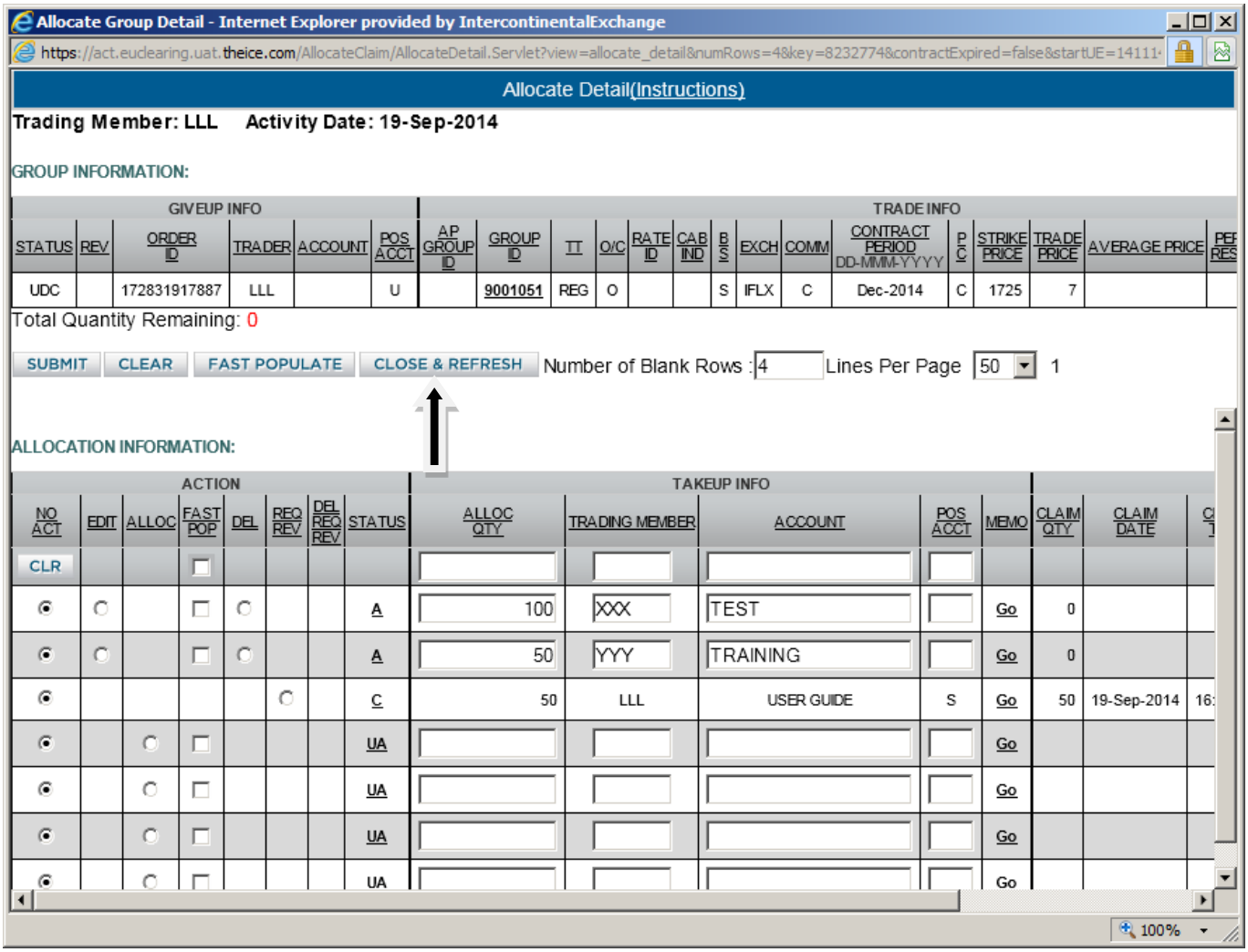
2. An Allocate Detail screen will open. The top portion of the screen represents the original trade that is being multi-allocated (split). The bottom portion of the screen is used to enter the different Members/accounts the trade needs to be given-up to.

3. Begin entering the Claim Member information into the first available line, using a new line for each new Claim Member and/or account detail. If you require more than the defaulted 4 lines, simply key in the number you wish in the 'Number of Blank Rows' box.

4. When finished, click Submit.


Allocate Group Detail - Internet Explorer provided by IntercontinentalExchange
https://act.euclearing.uat.theice.com/AllocateClaim/AllocateDetail.Servlet?view=allocate_detail&numRows=4&key=8232774&contractExpired=false&startUE=1411140499937
Allocate Detail(Instructions)
Trading Member: LLL Activity Date: 19-Sep-2014
GROUP INFORMATION:
GIVEUP INFO
TRADE INFO
STATUS REV ORDER ID TRADER ACCOUNT POS ACCT AP GROUP ID GROUP ID TT O/C RATE ID CAB IND B S EXCH COMM CONTRACT PERIOD DD-MMM-YYYY P C STRIKE PRICE TRADE PRICE AVERAGE PRICE PER UNIT RESIDUAL ROUNDED PRICE TRADE QTY
UA 172831917887 LLL U 9001051 REG O S IFLX C Dec-2014 C 1725 7 200
Total Quantity Remaining: 200
SUBMIT CLEAR FAST POPULATE CLOSE & REFRESH Number of Blank Rows : 4
ACTION
TAKEUP INFO
TRANS INFO
N ACT EDIT ALLOC FAST POP DEL REQ REV DEL REQ REV STATUS ALLOC QTY TRADING MEMBER ACCOUNT POS ACCT MEMO CLAIM QTY CLAIM DATE CLAIM TIME ALLOC REC ID ALLOC DATE ALLOC TIME
CLR
100 xxx test Go
50 yyy training Go
50 lll user guide S Go
UA Go
100%

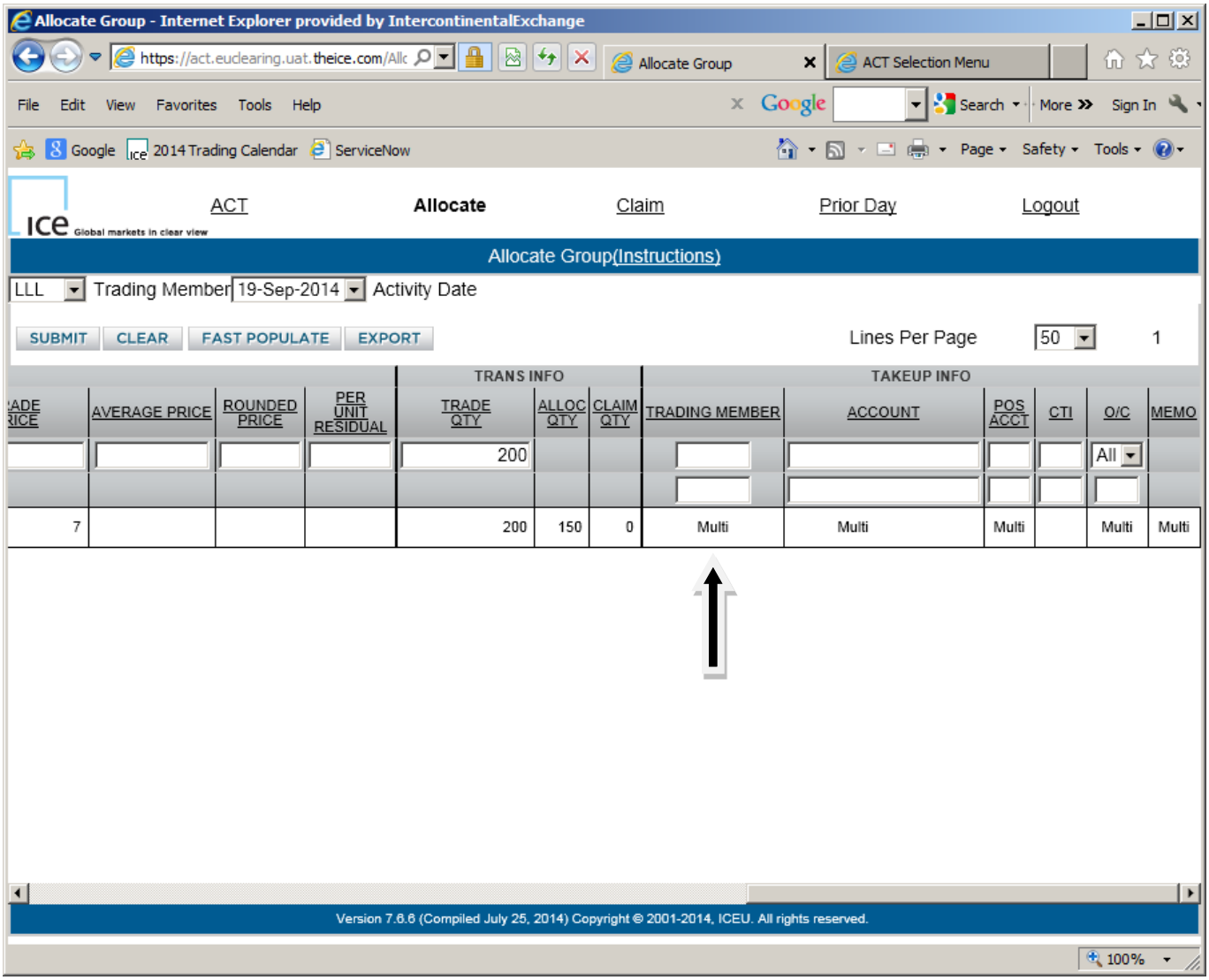
5. Once the screen has refreshed, the status of the multiple/split give-up will update from Unallocated (UA) to Allocated (A) and if the trade is allocated to a self clearing account the status will be Claimed (C) automatically. The Total Quantity Remaining (at the top in red) for the give-up will reduce based upon the amount allocated. Give-ups in ACT cannot be over-allocated.


Allocate Group Detail - Internet Explorer provided by IntercontinentalExchange
https://act.euclearing.uat.theice.com/AllocateClaim/AllocateDetail.Servlet?view=allocate_detail&numRows=4&key=8232774&contractExpired=false&startUE=14111
Allocate Detail(Instructions)
Trading Member: LLL Activity Date: 19-Sep-2014
GROUP INFORMATION:
GIVEUP INFO
TRADE INFO
STATUS REV ORDER ID TRADER ACCOUNT POS ACCT AP GROUP ID GROUP ID TT O/C RATE ID CAB IND B/S EXCH COMM CONTRACT PERIOD DD-MMM-YYYY P/C STRIKE PRICE TRADE PRICE AVERAGE PRICE
UDC 172831917887 LLL U 9001051 REG O S IFLX C Dec-2014 C 1725 7
Total Quantity Remaining: 0
SUBMIT CLEAR FAST POPULATE CLOSE & REFRESH Number of Blank Rows : 4 Lines Per Page 50 1
ALLOCATION INFORMATION:
ACTION
TAKEUP INFO
NO ACT EDIT ALLOC FAST POP DEL REQ REV DEL REQ REV STATUS ALLOC QTY TRADING MEMBER ACCOUNT POS ACCT MEMO CLAIM QTY CLAIM DATE
CLR
A 100 XXX TEST Go 0
A 50 YYY TRAINING Go 0
C 50 LLL USER GUIDE S Go 50 19-Sep-2014
UA Go
UA Go
UA Go
UA Go
100%

6. If the trade is in an allocated (A) status, the user must sub-allocate the entire quantity of the trade. ACT will not allow a trade that is in an allocated status to be under-allocated.

7. Click the Close and Refresh button to close the window.

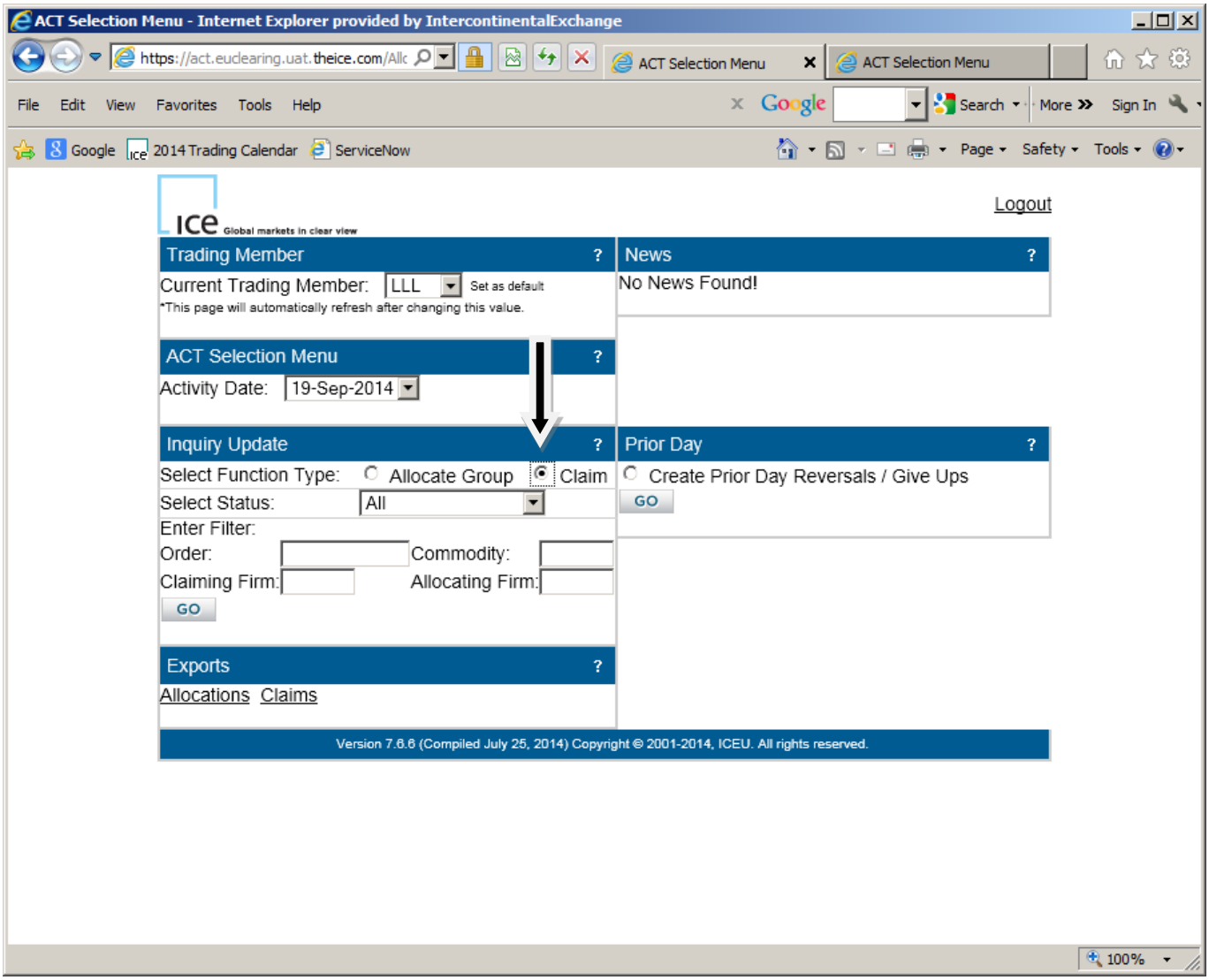
8. If only part of the give-up had been allocated, the status associated with the give-up will be "Under-allocated" (UDA). The Take-up Info section will display Multi within each claim field to show that the applicable give-up has multiple allocations associated with it.



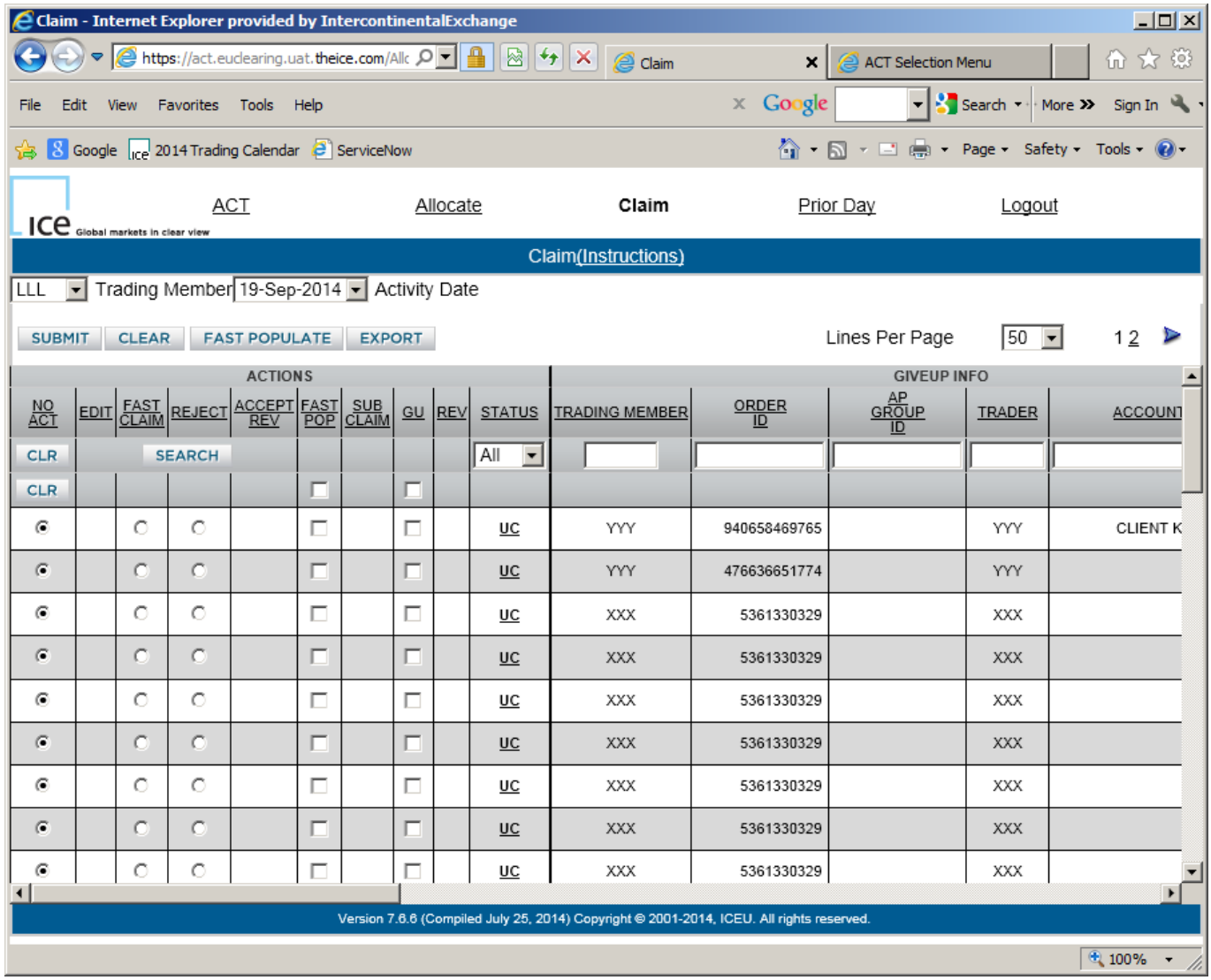
3 Claiming a Transaction

3.1 Claiming a Transaction into a Single Account

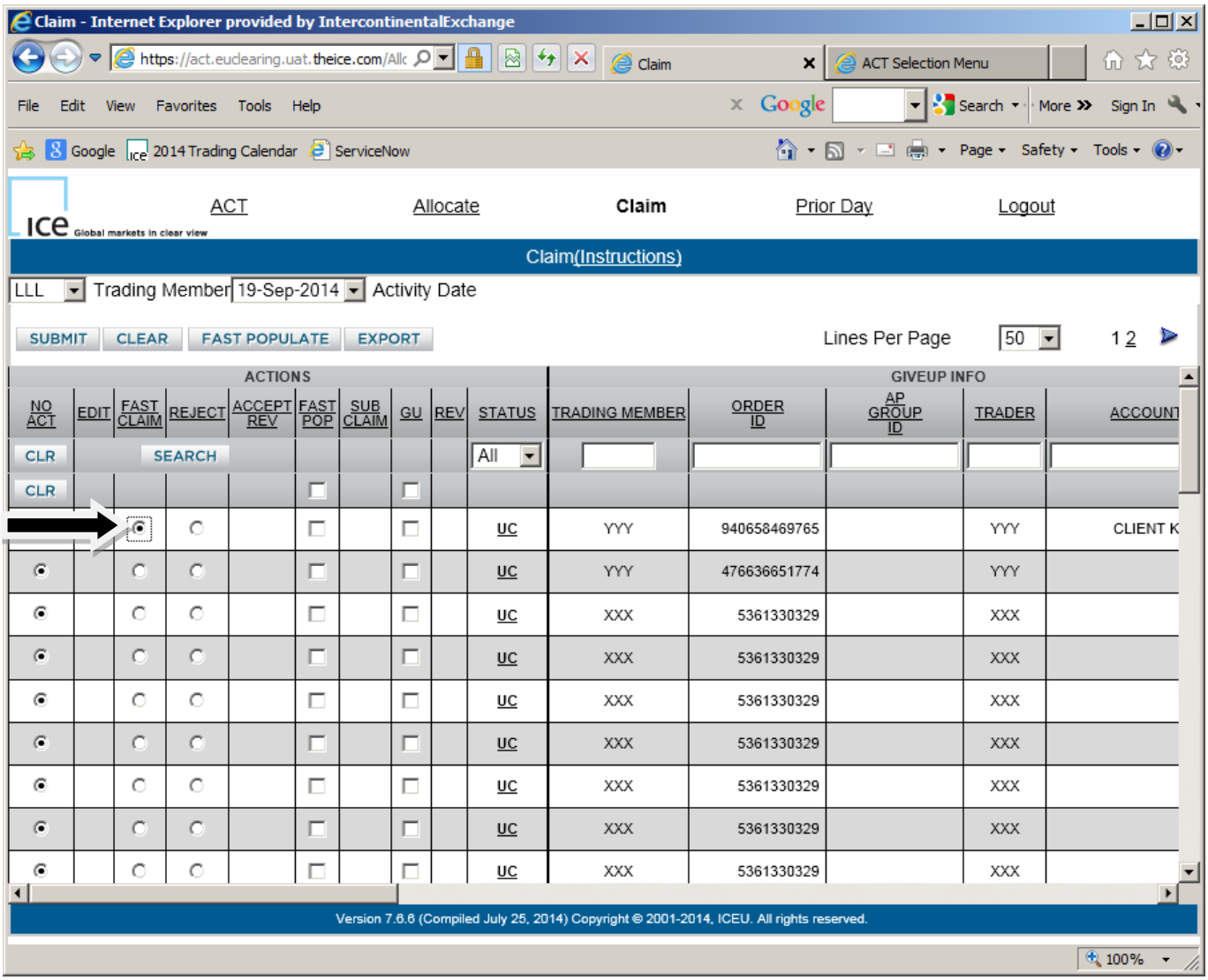
1. From the ACT Selection Menu, select the Claim button and click the Submit button or if already in one of the other ACT applications, click on the Claim link within the navigation bar at the top of the screen.



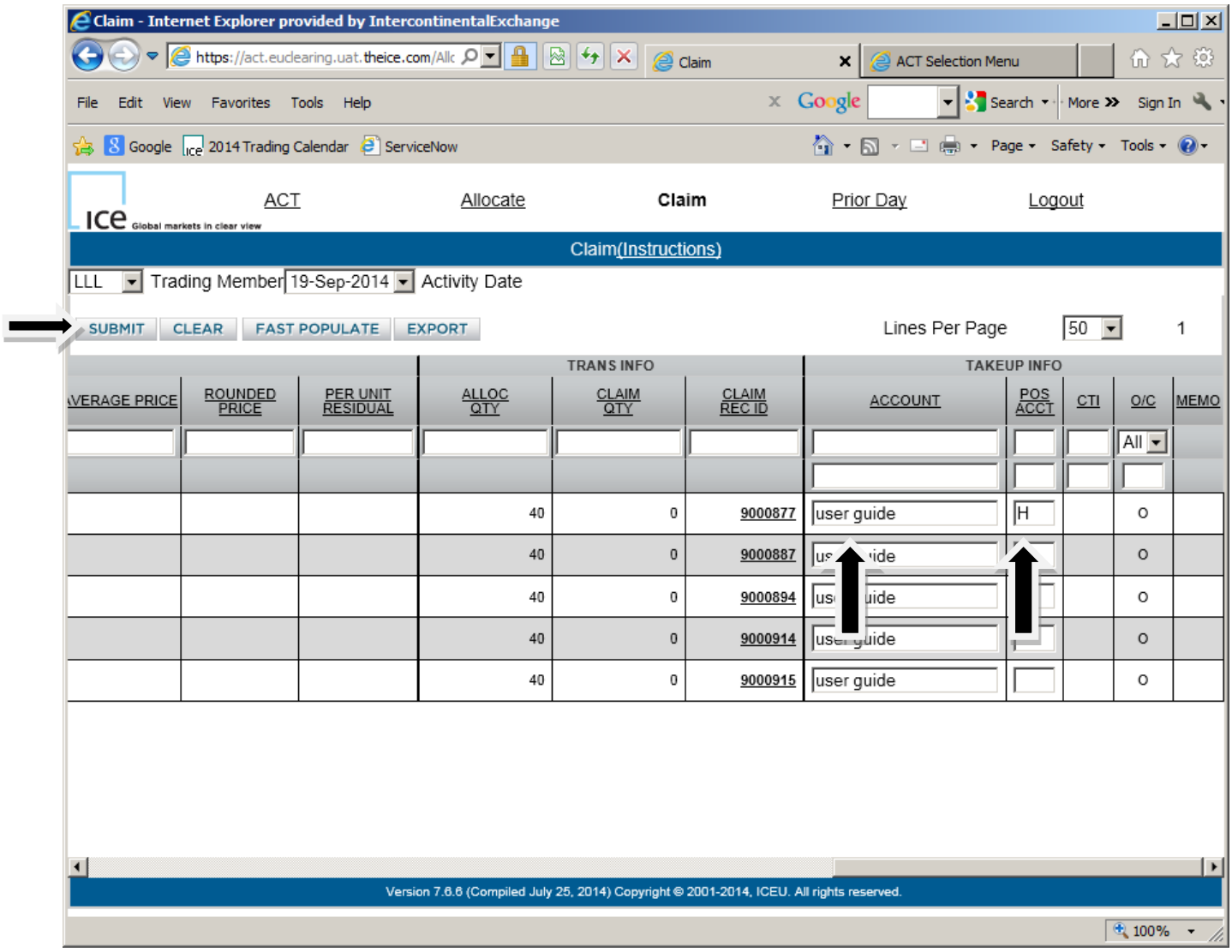
2. Once the screen has refreshed, the Claim screen will be displayed. If desired, use the search feature to locate a specific trade to claim.



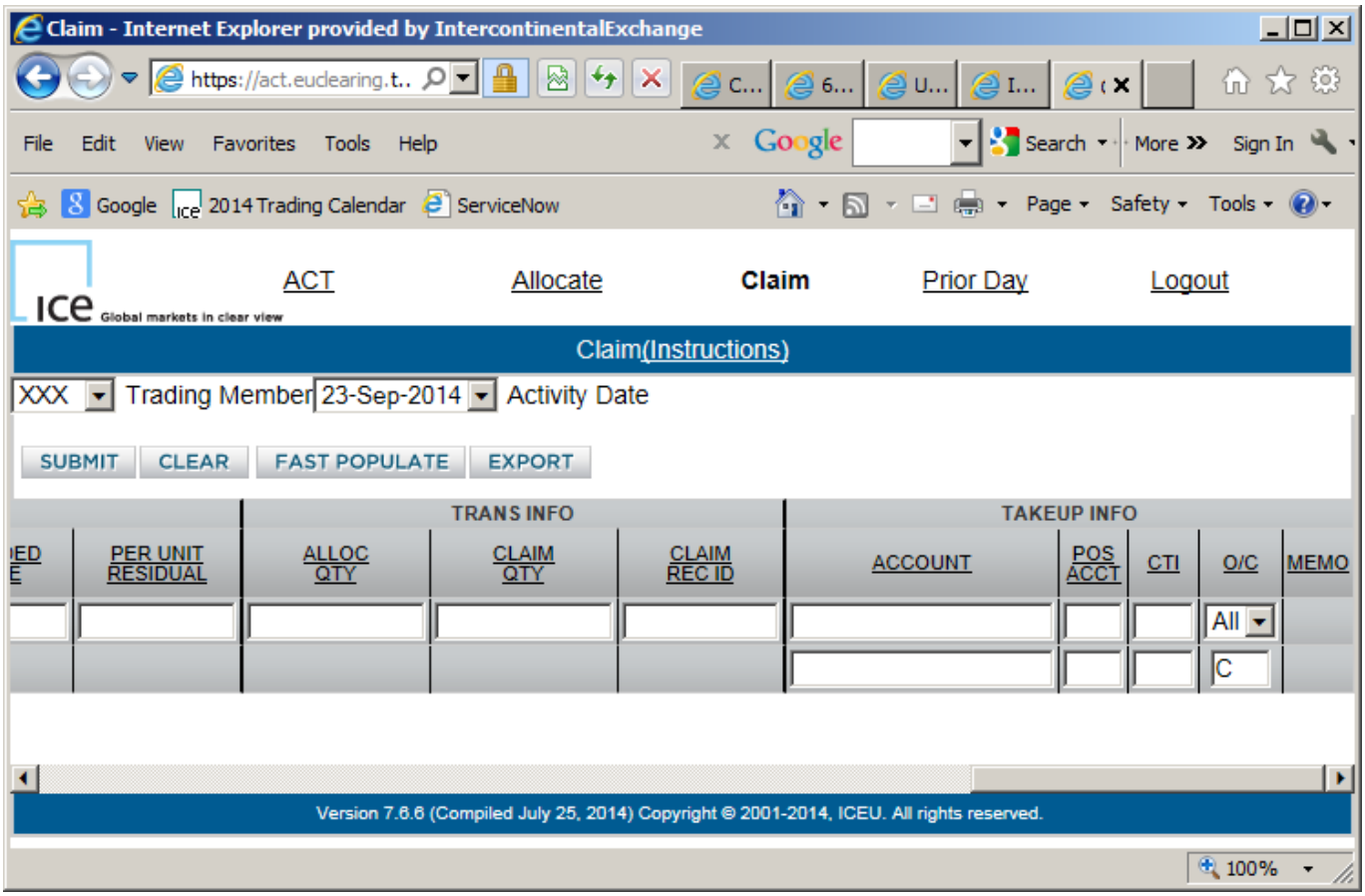
3. After locating the trade to be claimed in, click on the Fast Claim button and populate the allocation details on the right hand side of the screen under the 'TAKEUP INFO section (Account, Pos Acc and CTI code – IFUS and IFED only)
4. If CTI is not entered for (IFUS and IFED) CTI will default
5. Memo is not an editable field on the take up side, Groups can be filtered by selecting the status from the drop down, other filterable columns are TT, O/C,B/S,P/C
6. Order id, AP group id, Trader, Account, Pos acct, Rate ID, Trade date, Exch,Comm,Contract Period, strike Price, Trade Price, Average Price, Rounded Price, per unit Residual, Trade Qty, TM, Account , Pos acct , CTI are searchable fields
7. The user can select the number of lines per page 10, 20, 50,100,400



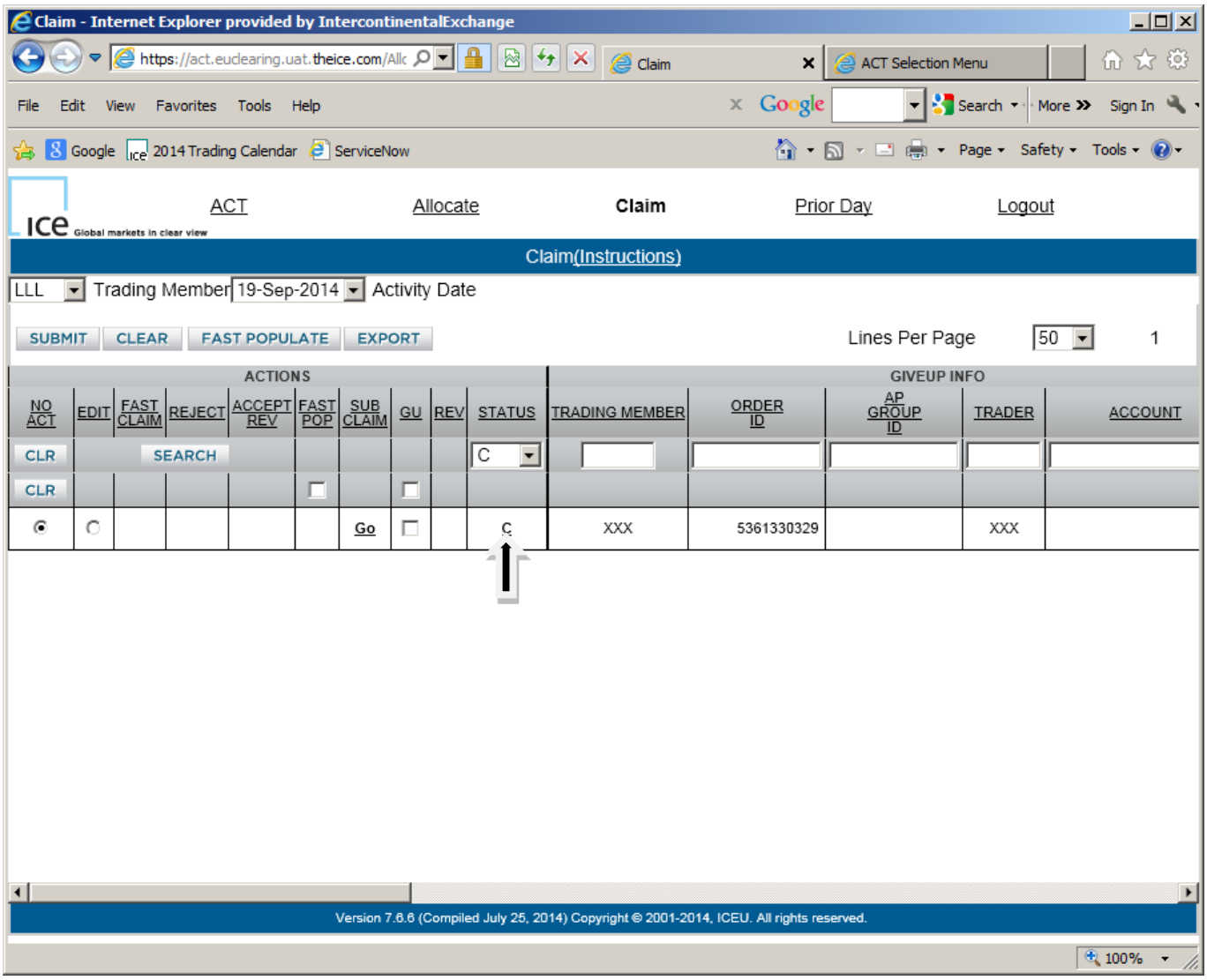
8. Then click on the Submit button.



9. To claim an Equity trade in as a closing trade, populate the OC indicator with a 'C' within the Takeup Info section .

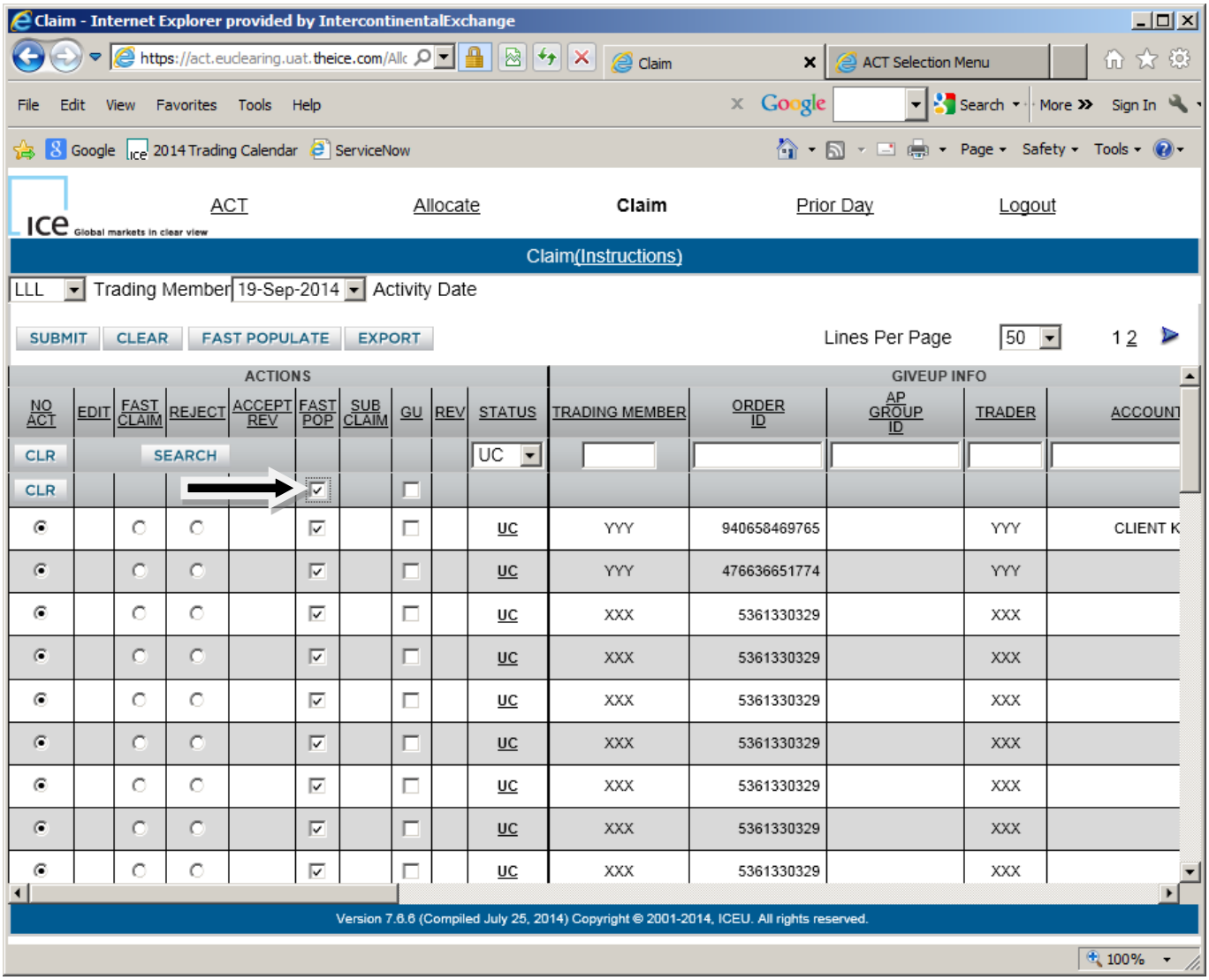


10. After the screen has refreshed, the unclaimed transaction (UC) will display a new status of Claimed (C).



3.2 Claiming Multiple Transactions into a Single Account

1. Filter and locate the trades that need to be claimed using the necessary filters.

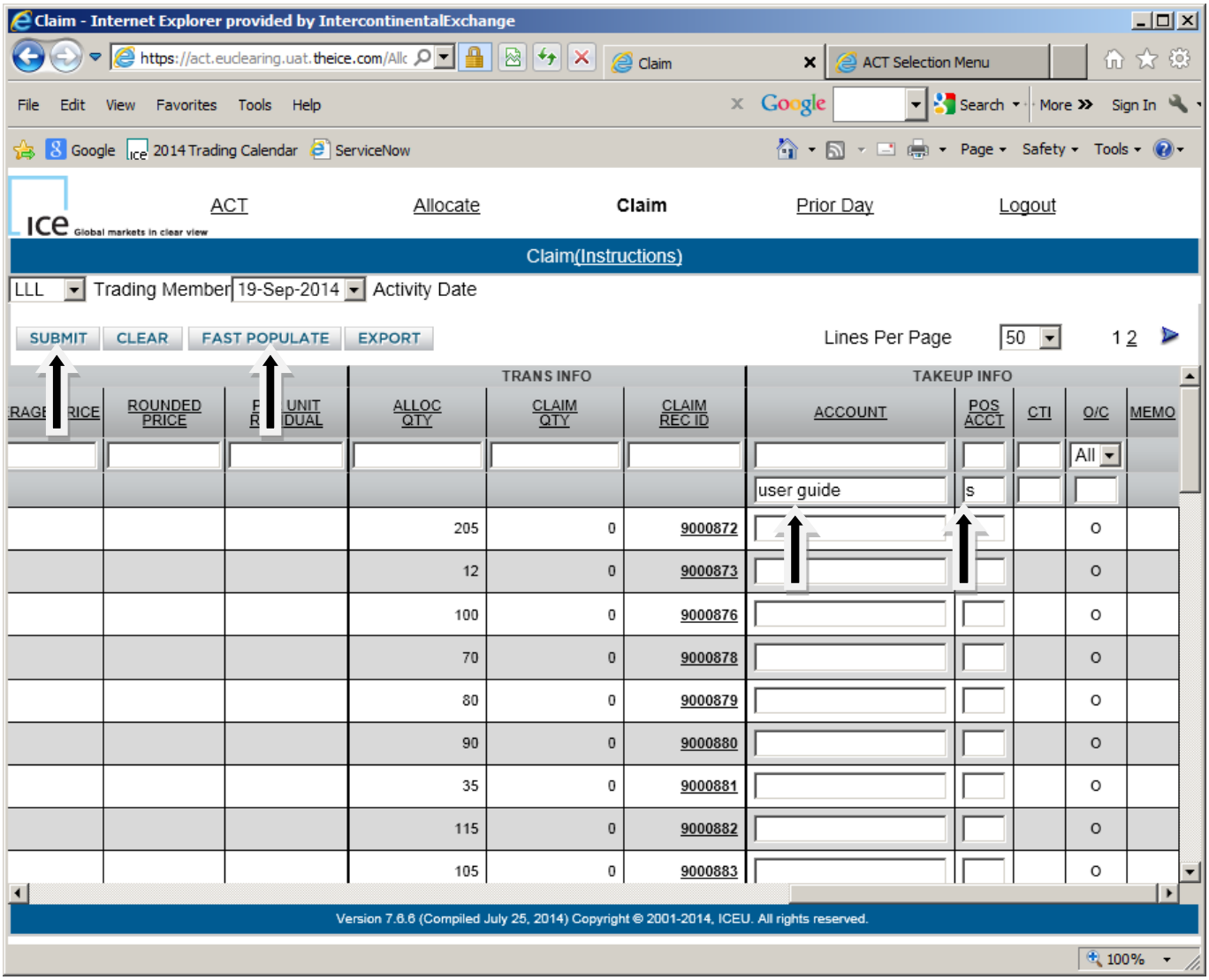


2. After locating the trades to be claimed, click on the Fast Pop button in the third header row. This will select all trades that are listed on the screen.

3. Enter the Account, Pos Acc and CTI code (IFUS and IFED only) details in the Takeup Info section and click the Fast Populate button. This action will populate the claim detail for all the trades that are selected. Again if you wish for an equity trade to be claimed in as a closing trade, populate the O/C column within the Takeup Info section.

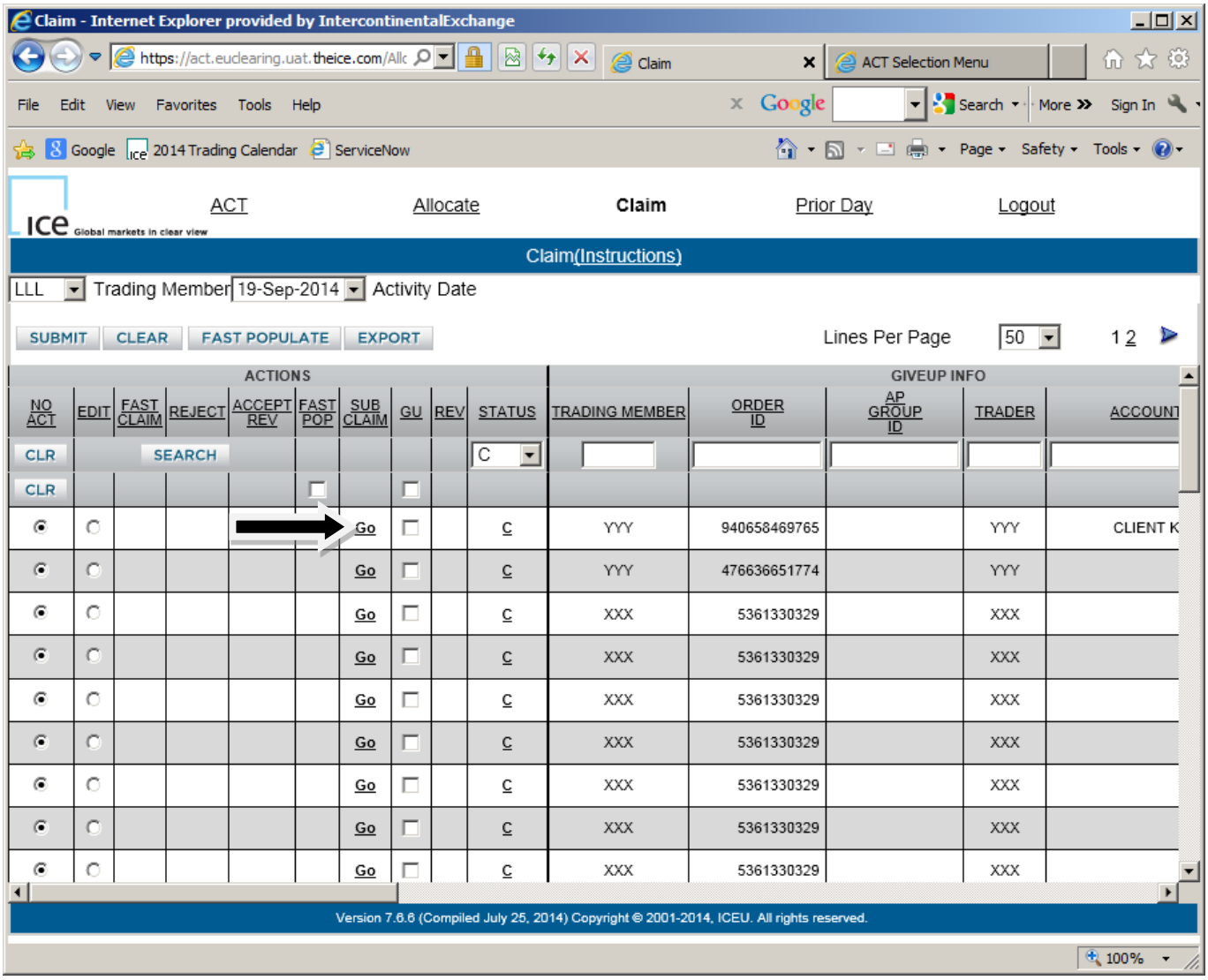
4. Click Submit to claim the trades.

5. All the trades will now be allocated to that one destination with a status of 'C'

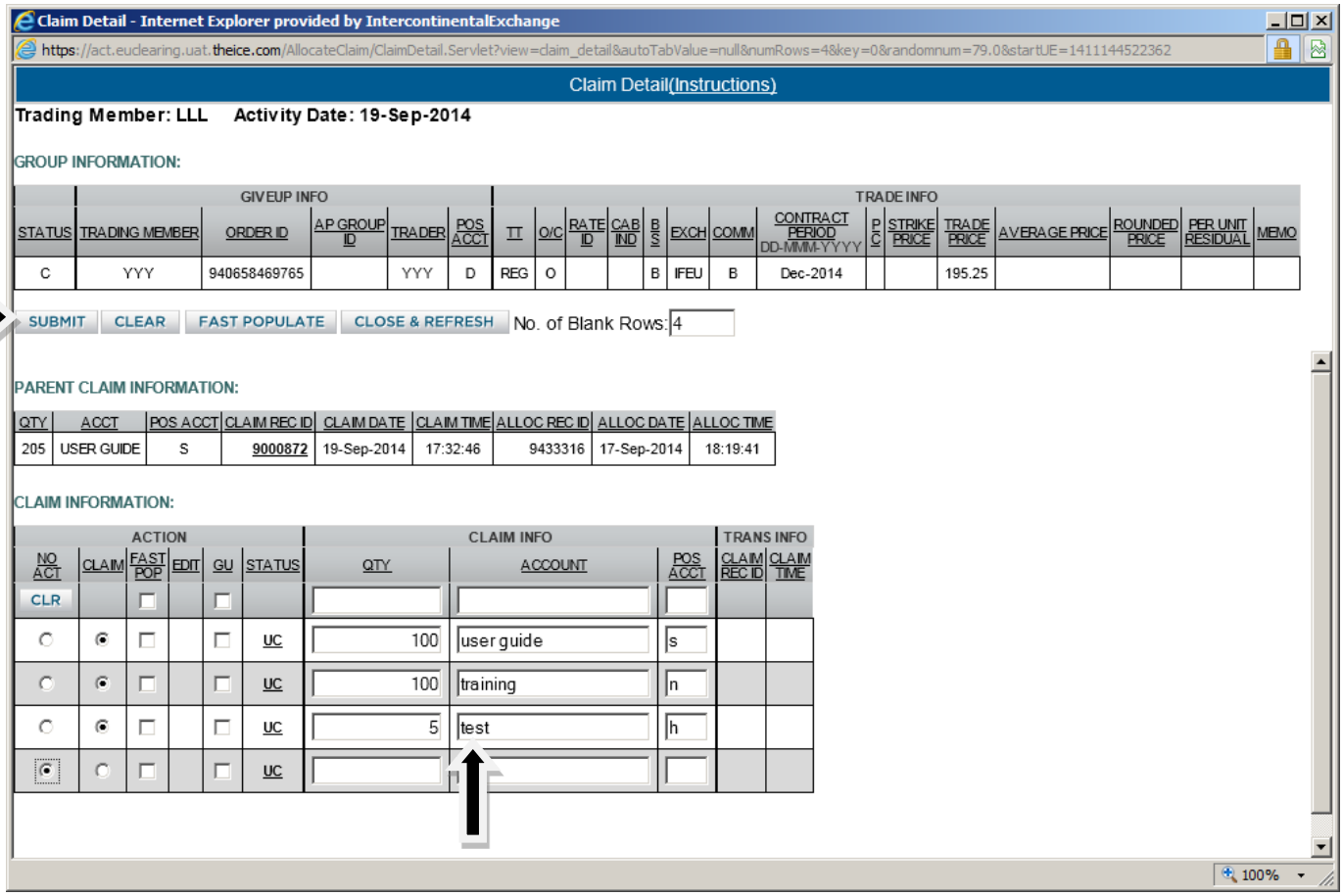


3.3 Sub-Claim \ Claiming into Multiple Accounts

1. From the Claim screen, locate the claimed trade to sub-claim and\or give-up then click on the Go link for that transaction. The Claim Detail Sub-Claim Screen will open.



2. The top portion of the screen represents the original claim that had been claimed. The bottom portion of the screen is used to sub-claim the claim into multiple accounts. Additionally, the Claim Detail screen can be used to give-up the full or partial amount of the claimed claim.


Claim Detail - Internet Explorer provided by IntercontinentalExchange
https://act.euclearing.uat.theice.com/AllocateClaim/ClaimDetail.Servlet?view=claim_detail&autoTabValue=null&numRows=4&key=0&randomnum=79.0&startUE=1411144522362
Claim Detail(Instructions)
Trading Member: LLL Activity Date: 19-Sep-2014
GROUP INFORMATION:
GIVEUP INFO
TRADE INFO
STATUS | TRADING MEMBER | ORDER ID | AP GROUP ID | TRADER | POS ACCT | TT | O/C | RATE ID | CAB IND | B S | EXCH | COMM | CONTRACT PERIOD DD-MMM-YYYY | P C | STRIKE PRICE | TRADE PRICE | AVERAGE PRICE | ROUNDED PRICE | PER UNIT RESIDUAL | MEMO
C | YYY | 940658469765 | | YYY | D | REG | O | | | B | IFEU | B | Dec-2014 | | | 195.25
SUBMIT
CLEAR
FAST POPULATE
CLOSE & REFRESH
No. of Blank Rows: 4
PARENT CLAIM INFORMATION:
QTY | ACCT | POS ACCT | CLAIM REC ID | CLAIM DATE | CLAIM TIME | ALLOC REC ID | ALLOC DATE | ALLOC TIME
205 | USER GUIDE | S | 9000872 | 19-Sep-2014 | 17:32:46 | 9433316 | 17-Sep-2014 | 18:19:41
CLAIM INFORMATION:
ACTION
CLAIM INFO
TRANS INFO
NO ACT | CLAIM | FAST POP | EDIT | GU | STATUS | QTY | ACCOUNT | POS ACCT | CLAIM REC ID | CLAIM TIME
CLR
UC | 100 | user guide | s
UC | 100 | training | n
UC | 5 | test | h
UC
100%

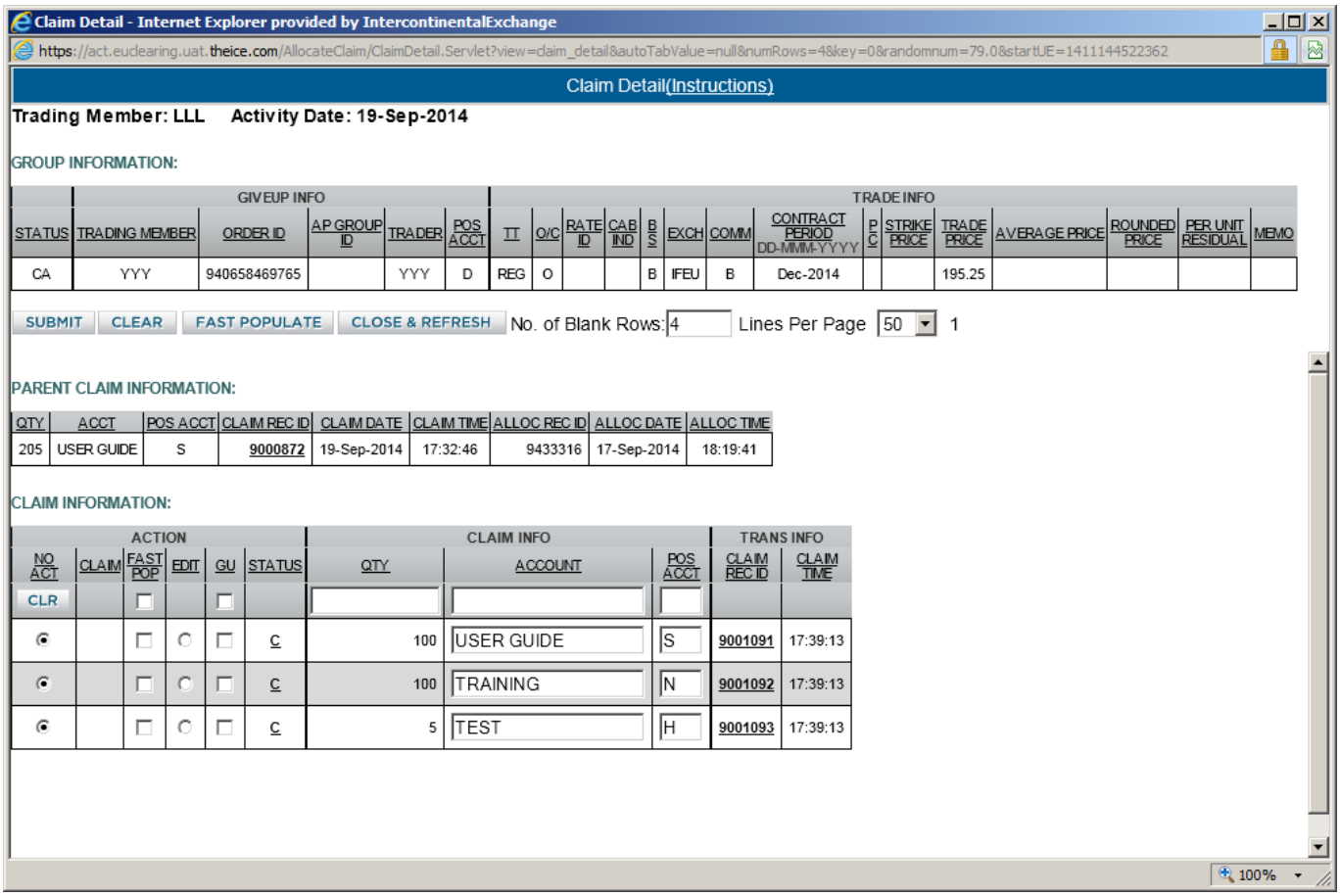
3. Enter the sub claim information, using a new line to for each separate account. A claim must be fully sub-claimed. Partial sub-claims are not allowed.

4. To give up all or a portion of a sub-claimed trade, tick the “GU” button next to each applicable sub-claim. Once submitted, a give-up summary record that represents the sub-claim marked for give-up will be created and viewable within the Allocate Group where the remaining allocation instructions can be provided.

5. A claimed claim cannot be over sub-claimed.

6. Click Submit. Click the Close and Refresh button to close the window.

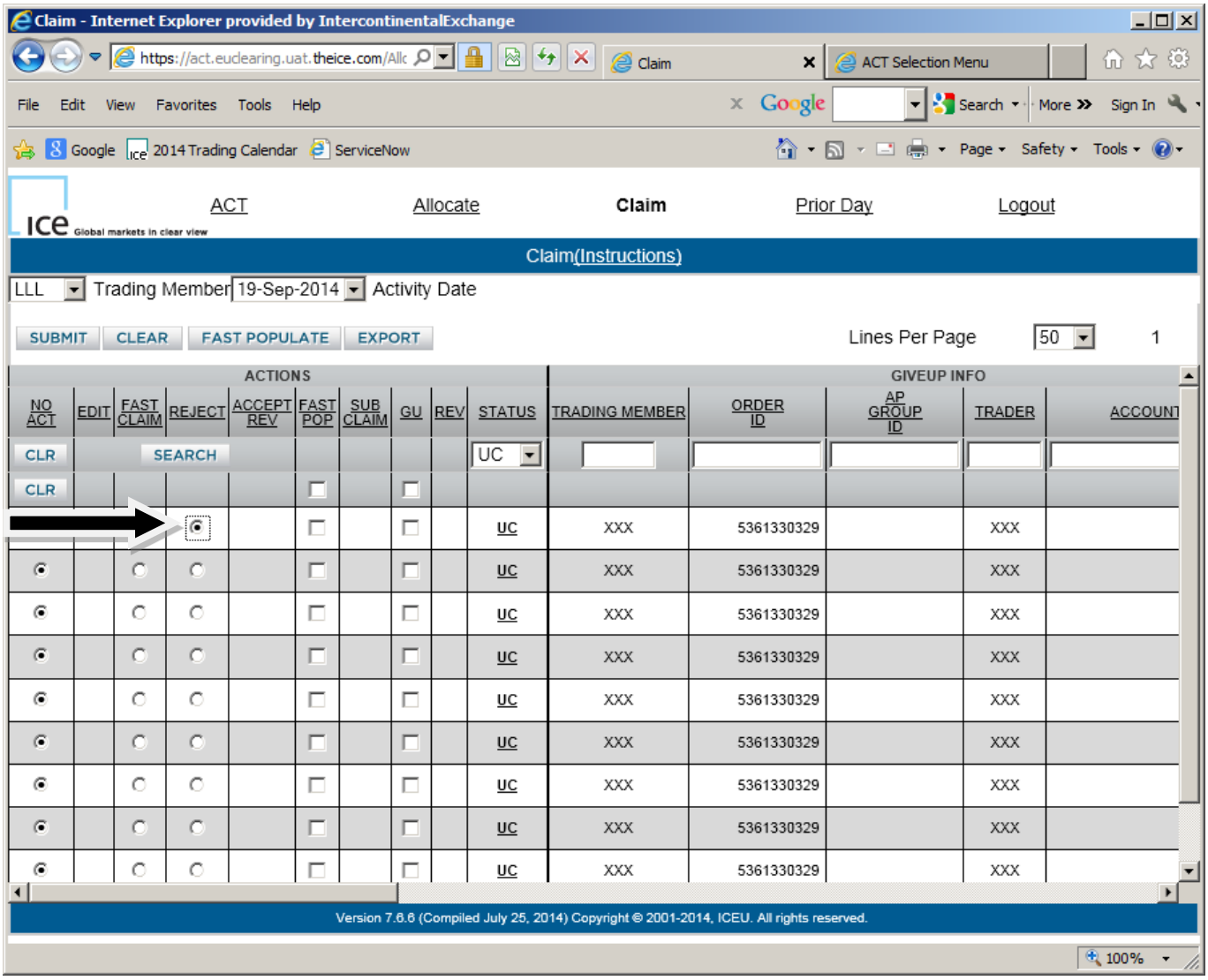
7. The trades are now claimed and will have a 'C' status.


Claim Detail - Internet Explorer provided by IntercontinentalExchange
https://act.euclearing.uat.theice.com/AllocateClaim/ClaimDetail.Servlet?view=claim_detail&autoTabValue=null&numRows=4&key=0&randomnum=79.0&startUE=1411144522362
Claim Detail(Instructions)
Trading Member: LLL Activity Date: 19-Sep-2014
GROUP INFORMATION:
GIVEUP INFO
TRADE INFO
STATUS | TRADING MEMBER | ORDER ID | AP GROUP ID | TRADER | POS ACCT | TT | O/C | RATE ID | CAB IND | B S | EXCH | COMM | CONTRACT PERIOD DD-MMM-YYYY | P C | STRIKE PRICE | TRADE PRICE | AVERAGE PRICE | ROUNDED PRICE | PER UNIT RESIDUAL | MEMO
CA | YYY | 940658469765 | | YYY | D | REG | O | | | B | IFEU | B | Dec-2014 | | | 195.25 | | | | |
SUBMIT CLEAR FAST POPULATE CLOSE & REFRESH No. of Blank Rows: 4 Lines Per Page 50 1
PARENT CLAIM INFORMATION:
QTY | ACCT | POS ACCT | CLAIM REC ID | CLAIM DATE | CLAIM TIME | ALLOC REC ID | ALLOC DATE | ALLOC TIME
205 | USER GUIDE | S | 9000872 | 19-Sep-2014 | 17:32:46 | 9433316 | 17-Sep-2014 | 18:19:41
CLAIM INFORMATION:
ACTION
CLAIM INFO
TRANS INFO
NO ACT | CLAIM | FAST POP | EDIT | GU | STATUS | QTY | ACCOUNT | POS ACCT | CLAIM REC ID | CLAIM TIME
CLR
C 100 USER GUIDE S 9001091 17:39:13
C 100 TRAINING N 9001092 17:39:13
C 5 TEST H 9001093 17:39:13
100%

4 Rejecting an Allocation

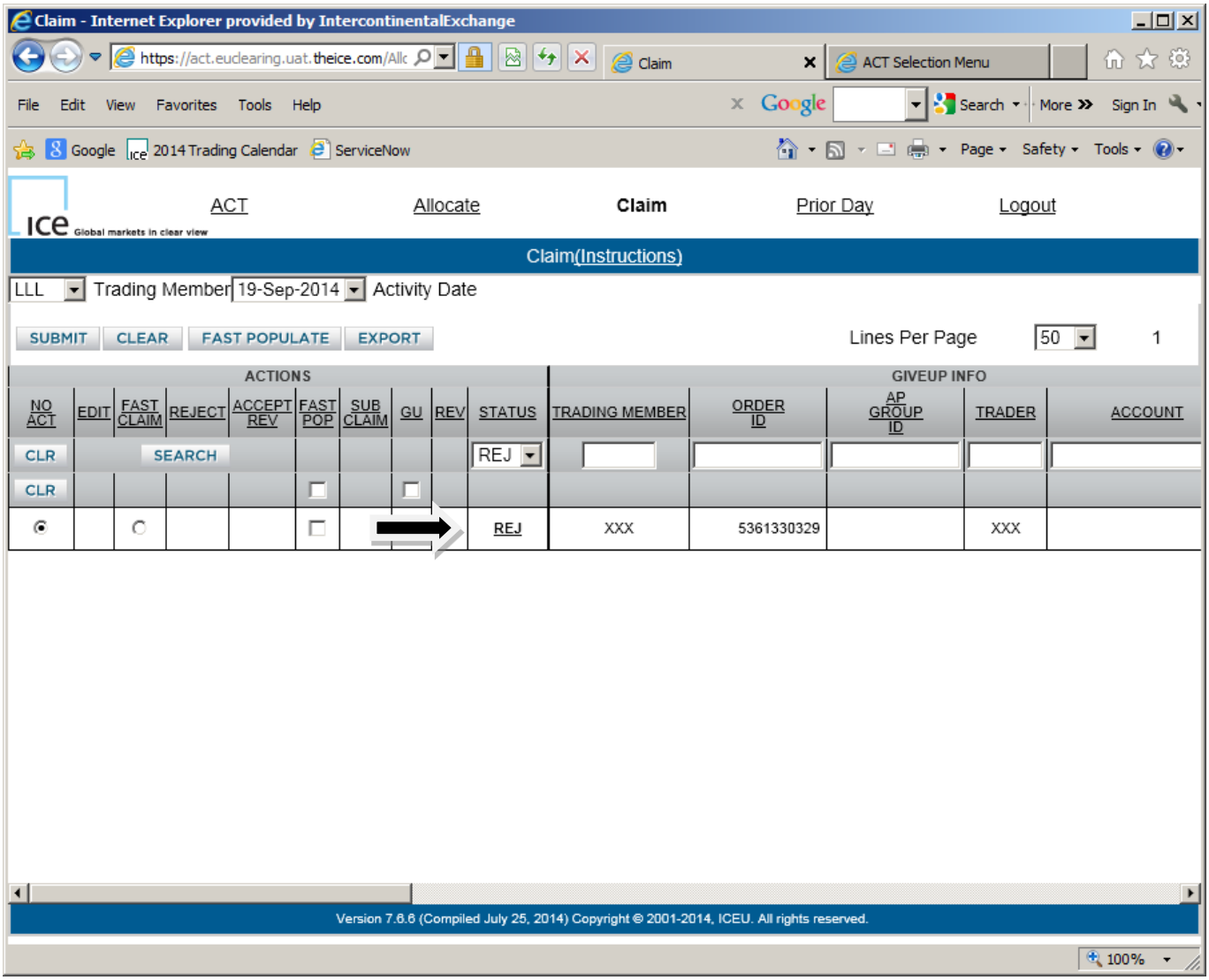
The claiming Member may reject unclaimed trades allocated to them. If a trade is in a rejected state the claim Member still retains the ability to claim the trade. When the Take up firm claim the trade the REJ status changes to C on both Giveup and Take up side. When the group is sub claimed in multiple blocks, the claim screen shows multi for Claim rec id, account, pos acct, CTI, O/C and memo.

1. To reject an unclaimed trade, navigate to the Claim screen. Locate the claim to be rejected and click the Reject button that appears next to that transaction and click the Submit button.



2. Clear button to Clear the data entered in searchable fields
3. CLR button to clear the data entered in corresponding rows
4. Export button to export the transactions

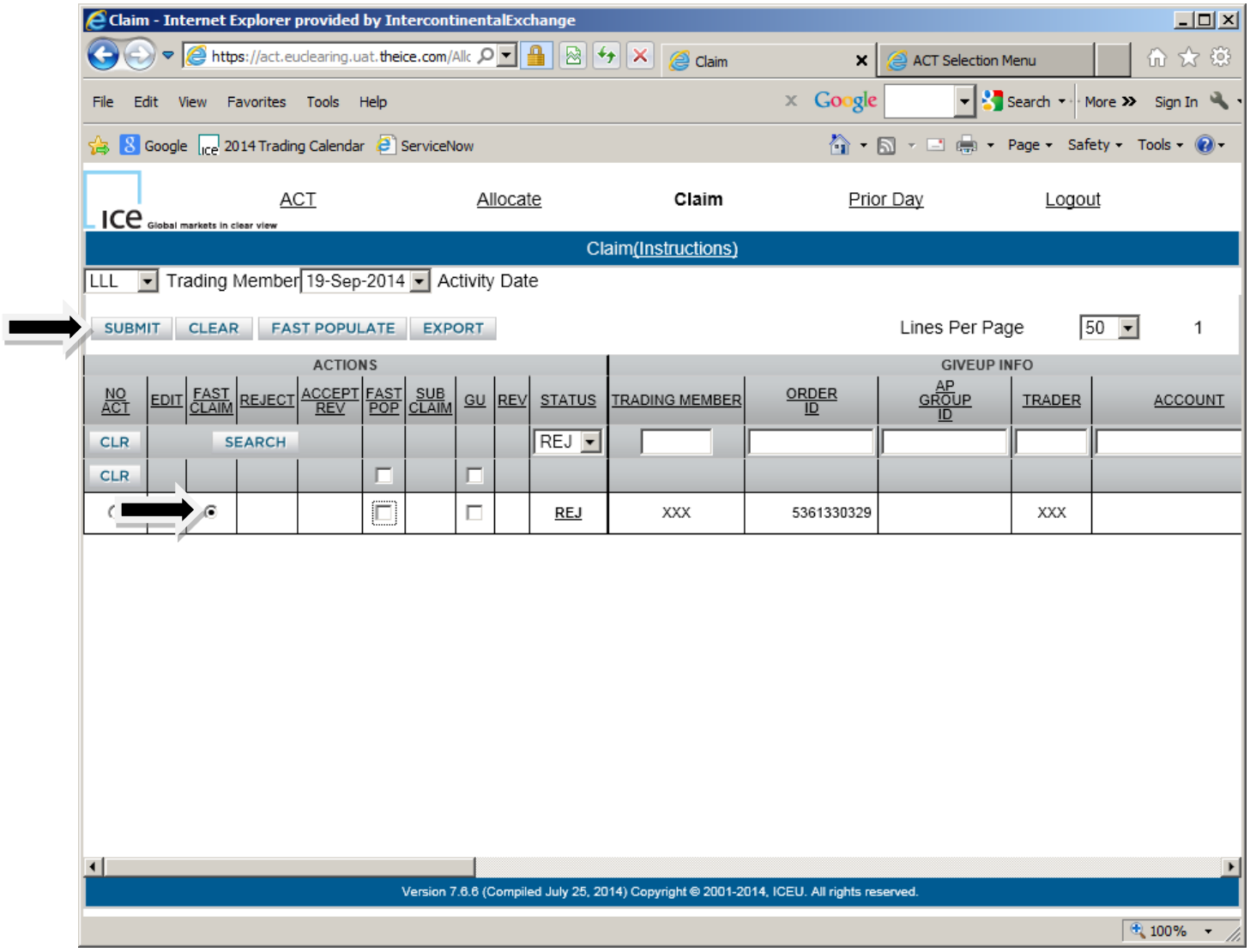
5. The status for the applicable claim, which will continue to be displayed on the screen, will be updated to REJ (Reject). The same status will be displayed to the allocating Member, who will now have the ability to edit the trade data and re-allocate if need be.



6. **If the trade remains in the REJ status at the end of the day, the trade will default to the allocating Member's Default position account and appear in ACT as REJ and in PTMS on the Dashboard tab the next business day.**

4.1 Claiming a Rejected Allocation

1. To claim a trade in a REJ status, navigate to the Claim screen. Locate the rejected trade to claim and click the Fast Claim button that appears next to that transaction, complete the required Claim Info to the right of the screen.



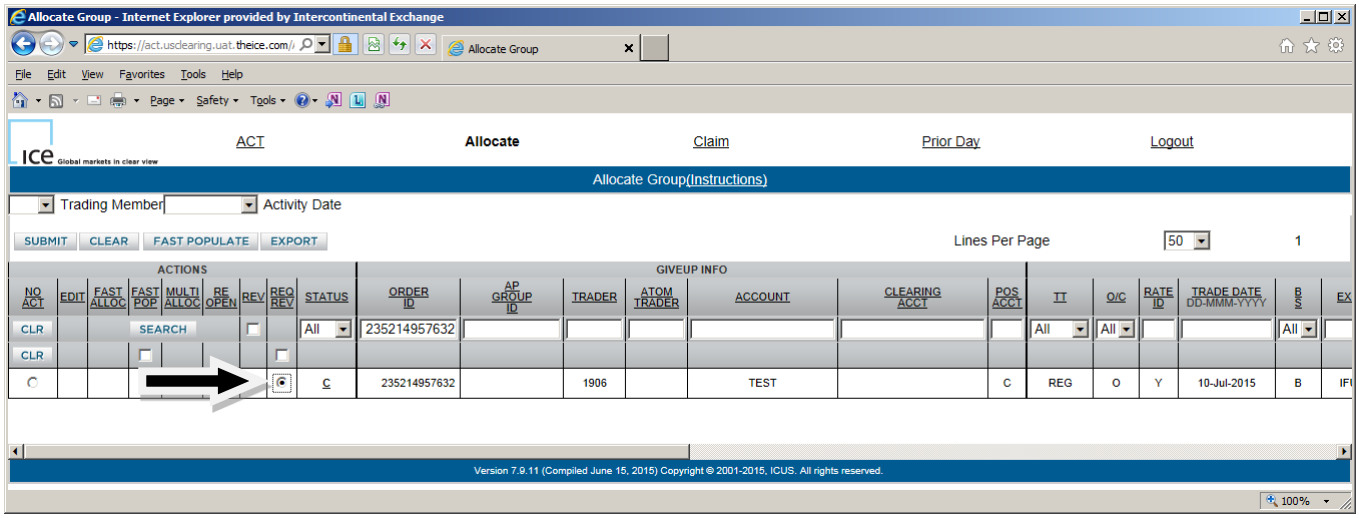
2. Click the Submit button. Once the Claim screen has refreshed the status of REJ (Reject), for the applicable claim, will be C (Claim).

5 Reversals

5.1 Individual Same-Day Reversal Request

Same-day reversal functionality is used to correct give-ups allocated and claimed in error. The Allocating Member is responsible for initiating the reversal request.

1. Navigate to the Allocate screen and locate the Claimed Give-Up trade to be reversed. Click the **Req Rev** radio button.

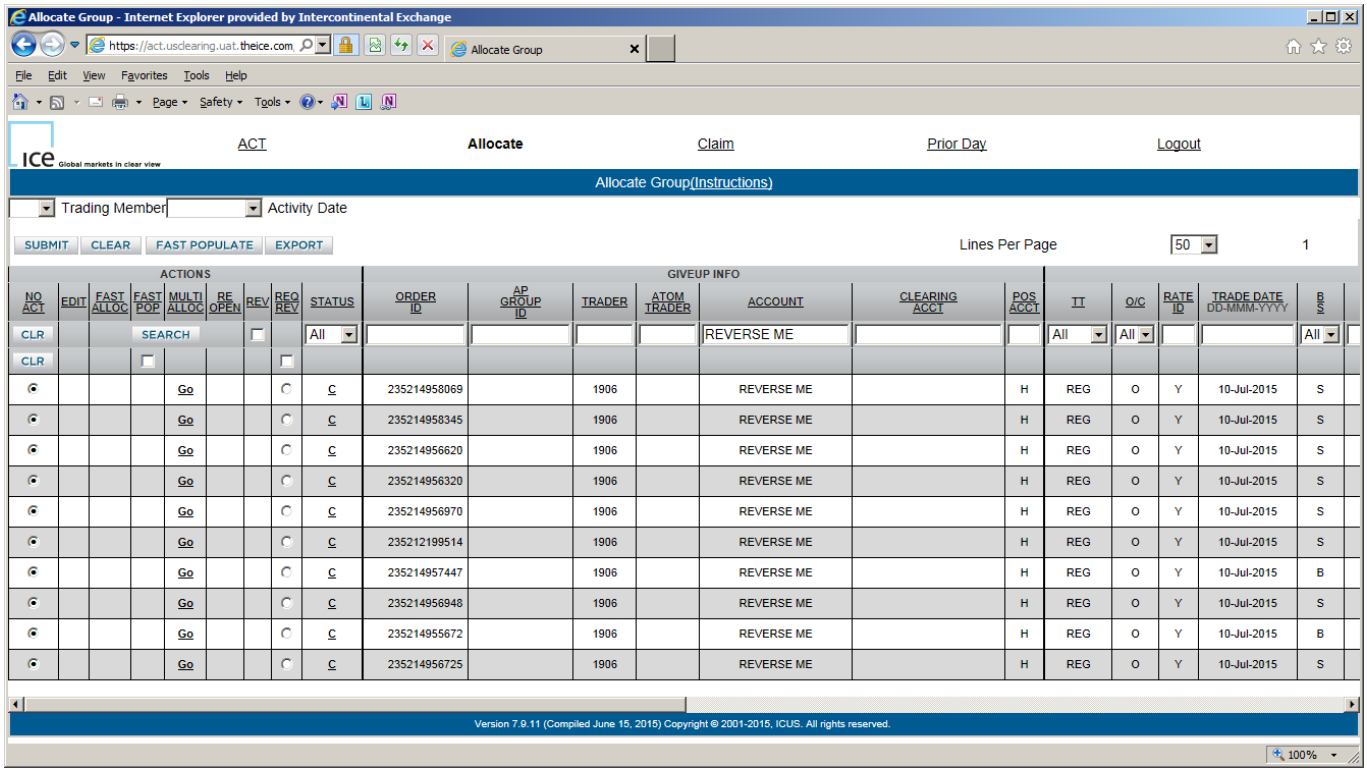


2. Click to the Submit button complete initiated the Reversal Request. New status RRV (Reversal Request) will be displayed. At this point the Claiming Member will be able to confirm the reversal.

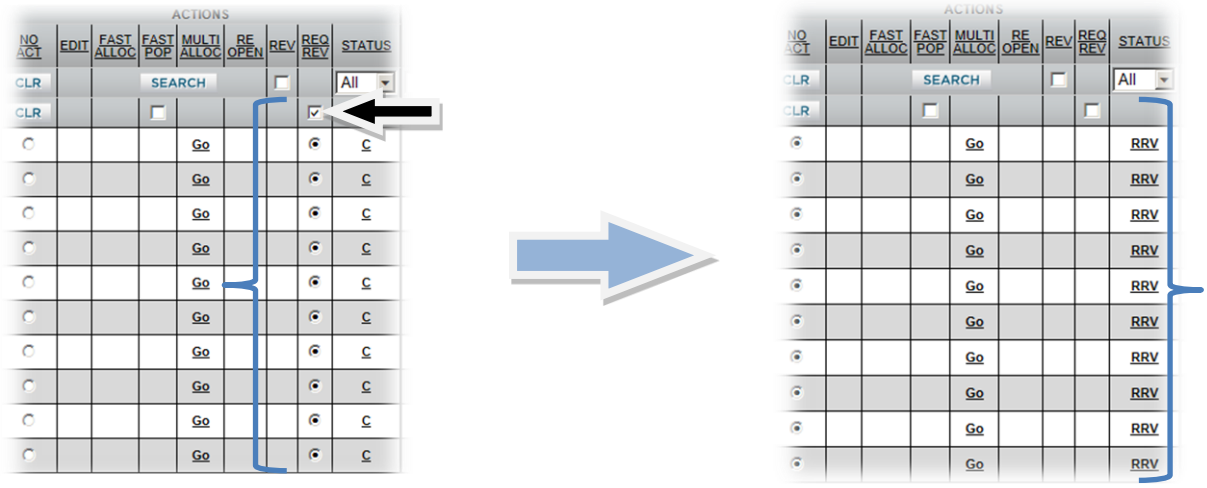
5.2 Mass Same-Day Reversal Request

The Allocation member can simultaneously perform a mass Reversal Request on singly claimed give-up transactions.

1. Use the search line feature to isolate a group of singly claimed give-up transactions to be mass reversed.



2. Check the **Req Rev All** box to turn on all **Req Rev** radio buttons or individually click applicable **Req Rev** radio buttons, then click the Submit button to initiate selected Reversal Requests.

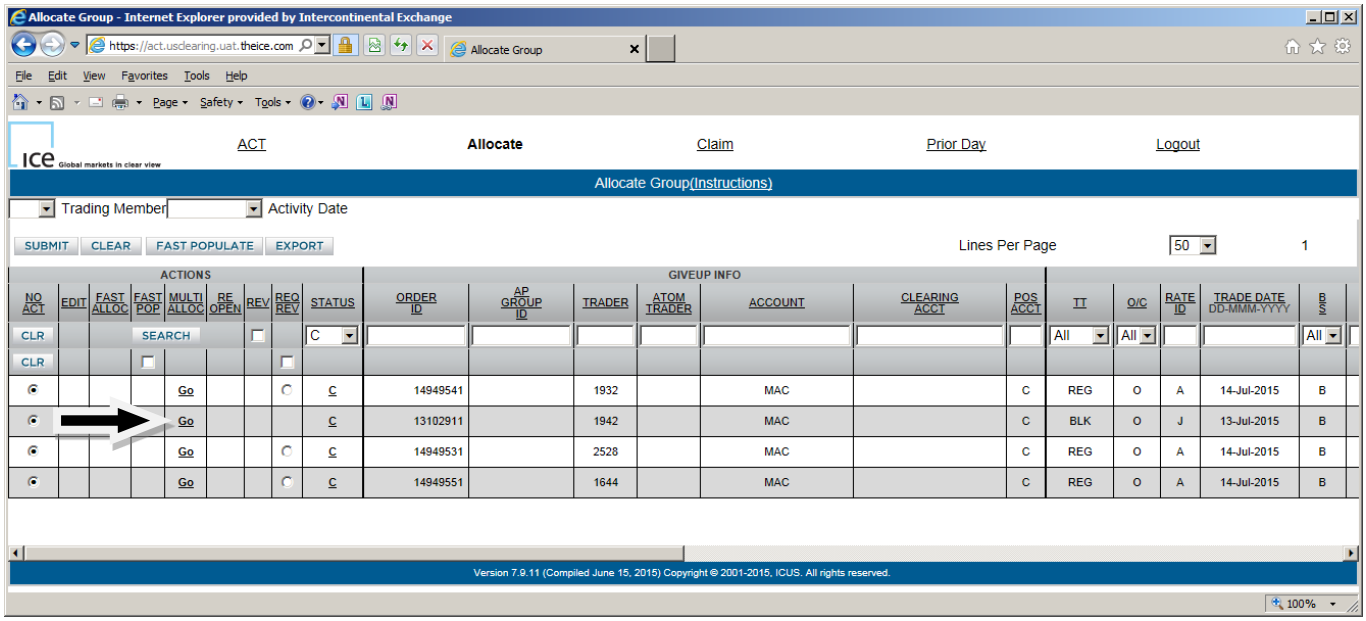


3. The status of the request will be updated to RRV (Reversal Requested). At this point the claiming Member can re-confirm the reversal request.

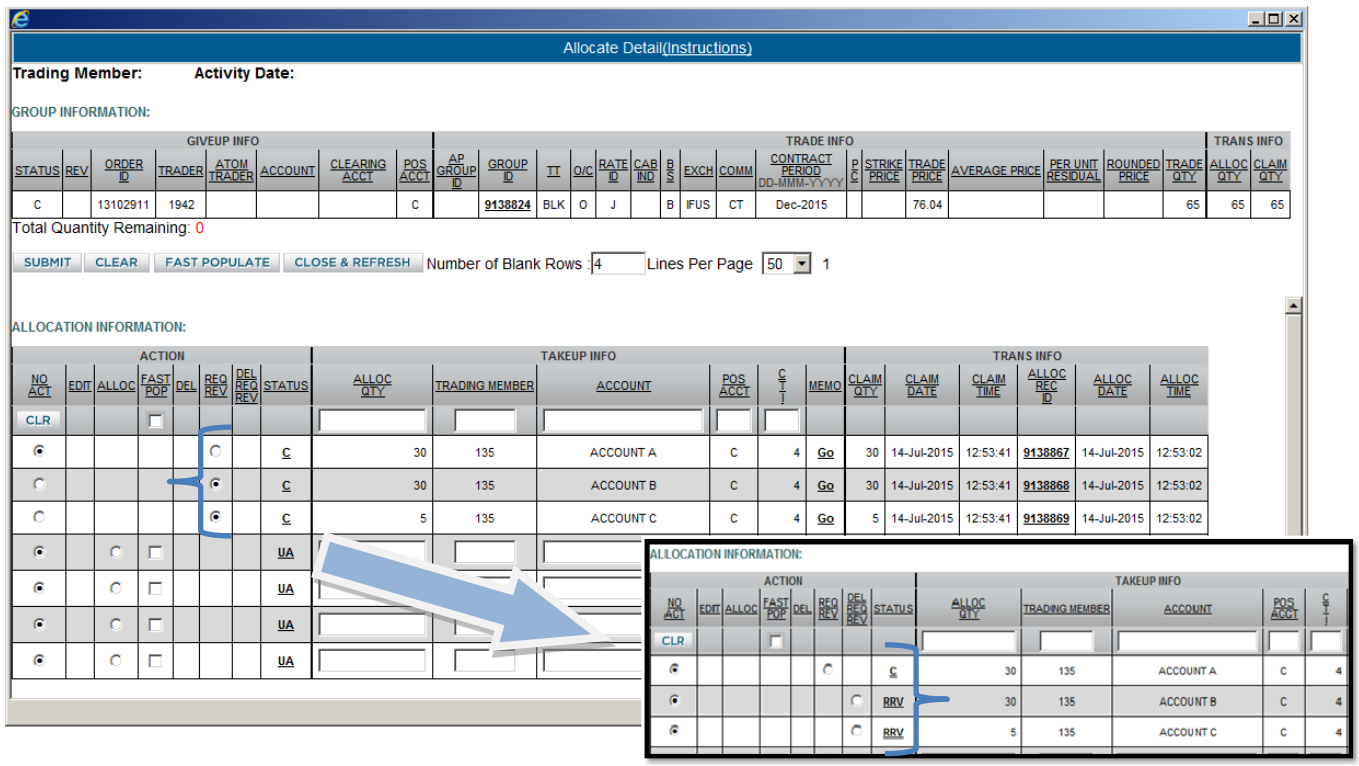
5.3 Muti-Allocated Same-Day Reversal Request

The Allocation member can initiate a Reversal Request for a give-up transaction that has been multi allocated.

1. Locate the multi allocated give-up transaction to be reversed and click the applicable **Go** link.



2. The **Allocate Detail** screen will be displayed. Check the applicable **Req Rev** radio buttons, then click the Submit button to initiate selected Reversal Requests.



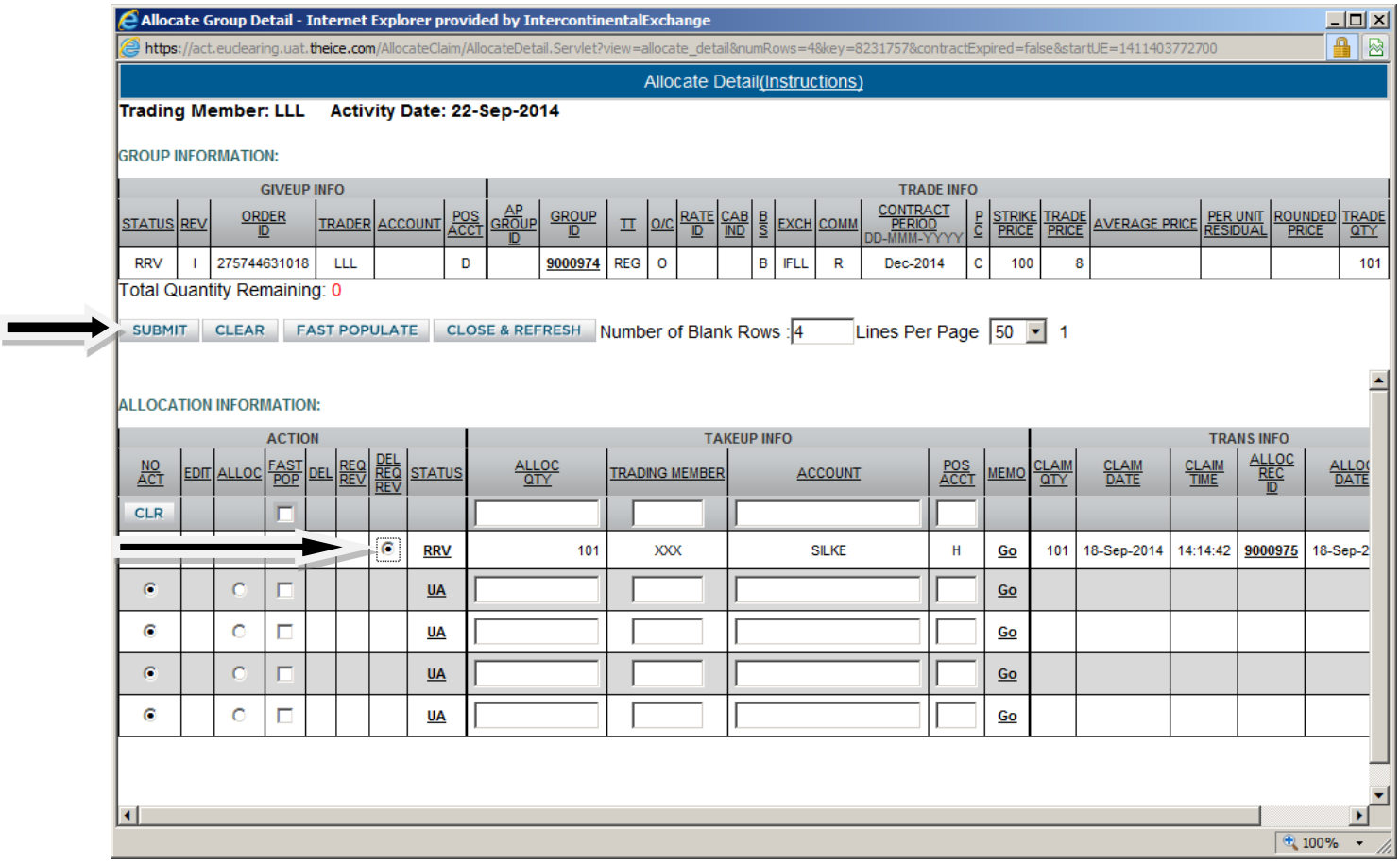
3. The status of the request will be updated to RRV (Reversal Requested). At this point the claiming Member can confirm the reversal request.

5.4 Delete a Reversal Request

If it is determined that a Reversal Request (RRV) is not needed, the Reversal Request can be deleted. The allocating Member is responsible for deleting Reversal Requests.

1. Navigate to the Allocate screen and locate the Reversal Request to be deleted. Click on the Go link for that transaction. The Allocate Detail screen will open.

2. Click on the Del Rev Req button next to the transaction to be reversed. Click Submit.


Allocate Group Detail - Internet Explorer provided by IntercontinentalExchange
https://act.euclearing.uat.theice.com/AllocateClaim/AllocateDetail.Servlet?view=allocate_detail&numRows=4&key=8231757&contractExpired=false&startUE=1411403772700
Allocate Detail(Instructions)
Trading Member: LLL Activity Date: 22-Sep-2014
GROUP INFORMATION:
GIVEUP INFO
TRADE INFO
STATUS REV ORDER ID TRADER ACCOUNT POS ACCT AP GROUP ID GROUP ID TT O/C RATE ID CAB IND B S EXCH COMM CONTRACT PERIOD DD-MMM-YYYY P C STRIKE PRICE TRADE PRICE AVERAGE PRICE PER UNIT RESIDUAL ROUNDED PRICE TRADE QTY
RRV I 275744631018 LLL D 9000974 REG O B IFLL R Dec-2014 C 100 8 101
Total Quantity Remaining: 0
SUBMIT CLEAR FAST POPULATE CLOSE & REFRESH Number of Blank Rows : 4 Lines Per Page 50 1
ALLOCATION INFORMATION:
ACTION
TAKEUP INFO
TRANS INFO
NO ACT EDIT ALLOC FAST POP DEL REQ REV DEL REQ REV STATUS ALLOC QTY TRADING MEMBER ACCOUNT POS ACCT MEMO CLAIM QTY CLAIM DATE CLAIM TIME ALLOC REC ID ALLOC DATE
CLR
RRV 101 XXX SILKE H Go 101 18-Sep-2014 14:14:42 9000975 18-Sep-2
UA Go
UA Go
UA Go
UA Go
100%

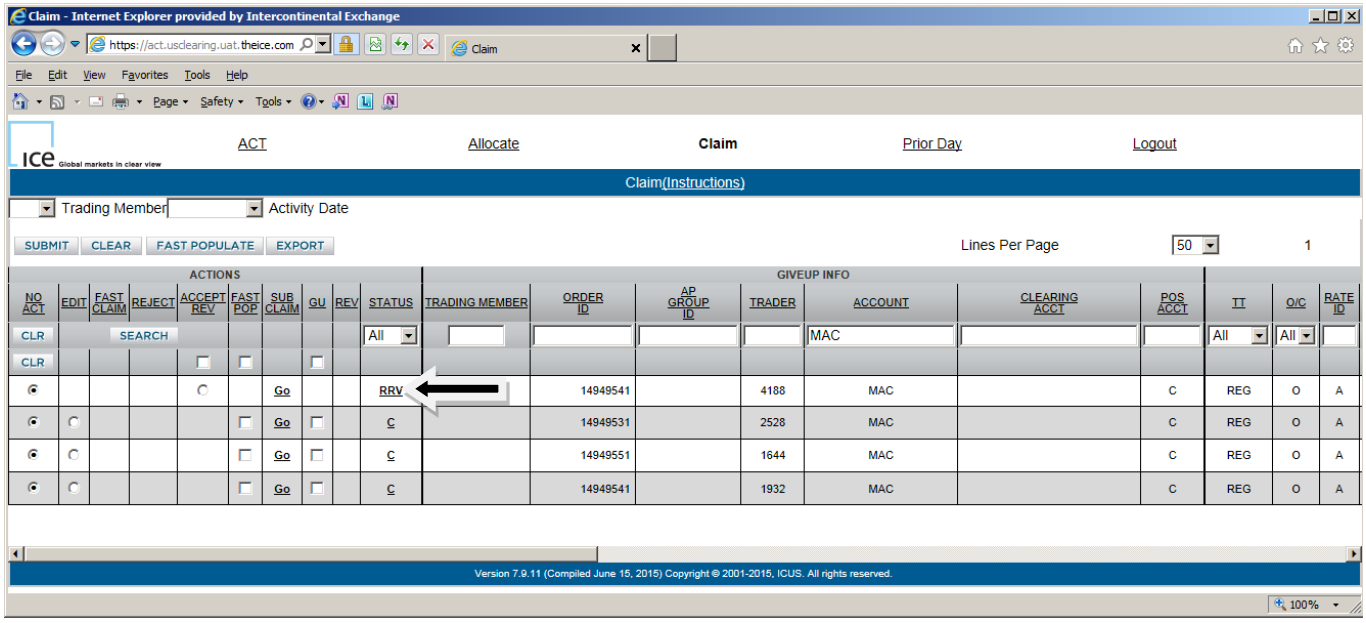
3. The status for the applicable give-up transaction will be revert back C (Claimed).

4. **If a trade is in a RRV status at the end of the day, the trade will clear into the claimed member's account as if it was in a C status and will not be available in the claim or allocation screen the next day. In order to reverse the Claim, the allocating Member must request a reversal via the Prior Day Screen.**

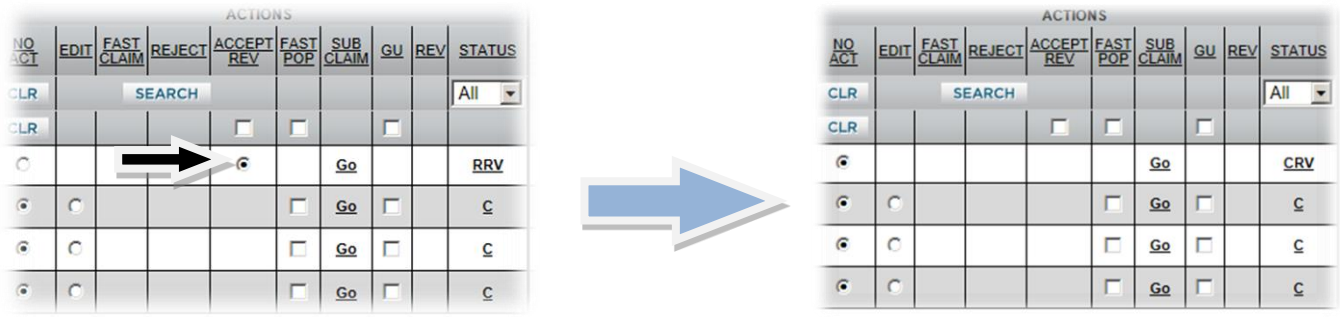
5.5 Confirming Individual Reversal Request

In order for the reversal process to be completed, the claiming Member needs to confirm both same day and/or prior day reversal requests.

1. Navigate to the Claim screen and locate the claim reversal to be confirmed. The status of all reversal requests are displayed as RRV.



2. Click the applicable **Accept Rev** radio button, then click the Submit button to accept and confirm selected Reversal Request.

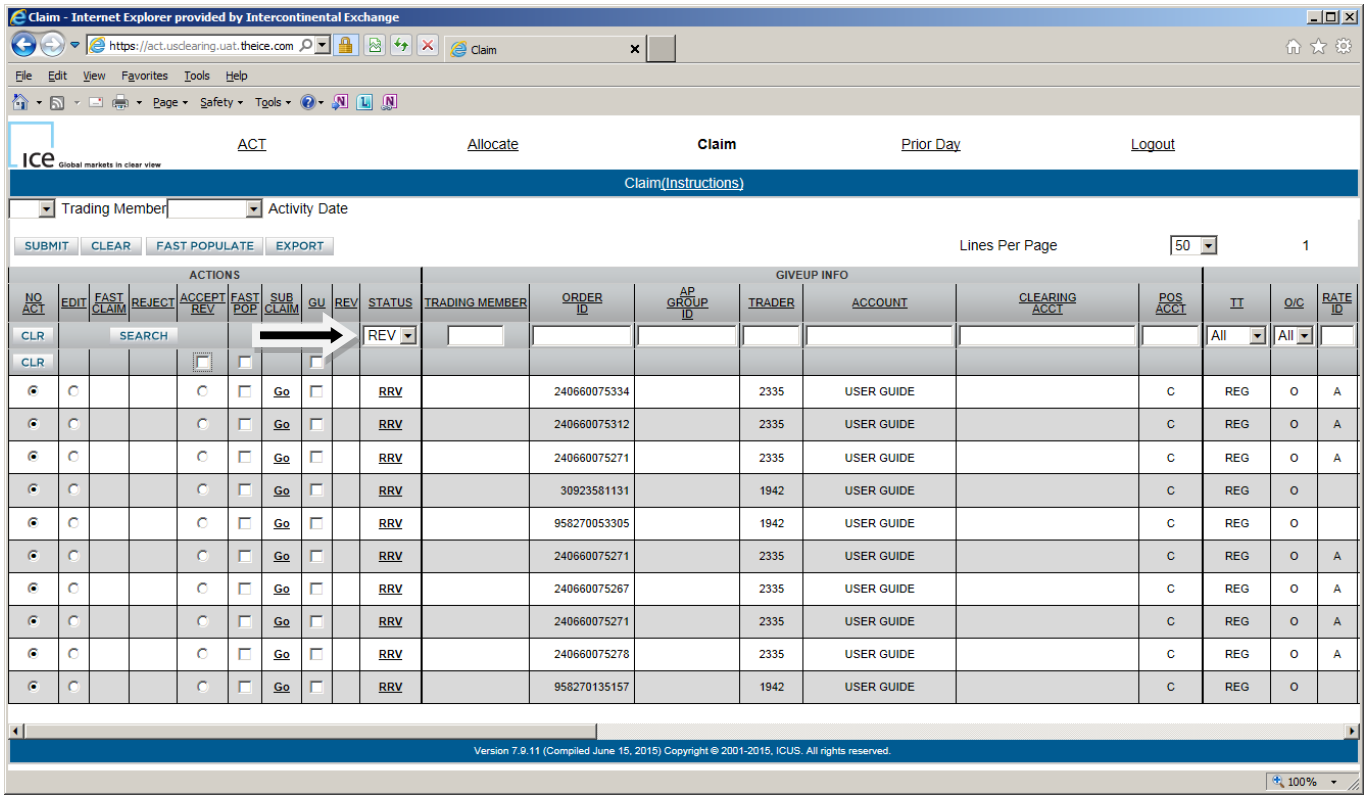


3. The status of the claim transaction will be updated to CRV (Confirmed Reversal). At this point the allocating Member can re-allocate the give-up.

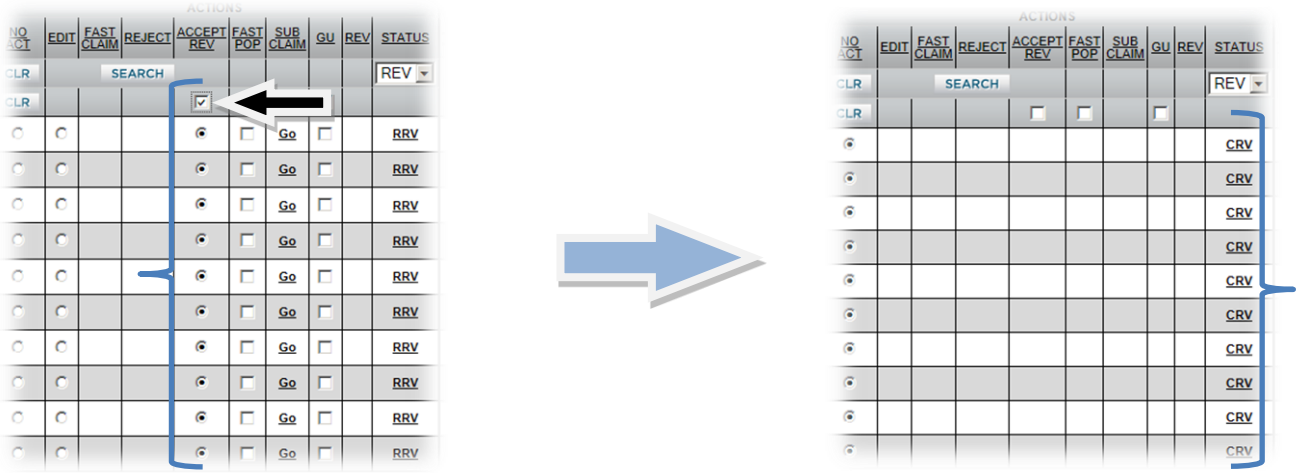
5.6 Confirming Mass Reversal Request

In order for the reversal process to be completed, the claiming Member needs to confirm both same day and/or prior day reversal requests.

2. Navigate to the Claim screen and use the search feature to locate the Reversal Requests to be confirmed. The status of all reversal requests are displayed as RRV.



3. Check the **Accept Rev All** box to turn on all **Accept Rev** radio buttons, then click the Submit button to accept and confirm selected Reversal Requests.



4. The status of the claim transaction will be updated to CRV (Confirmed Reversal). At this point the allocating Member can re-allocate the give-up.

6 Prior Day Corrections

The Prior Day screen allows users to reverse individual or a mass group of prior day give ups for up to two business days. Through this screen users can also give up claims from two prior business days.

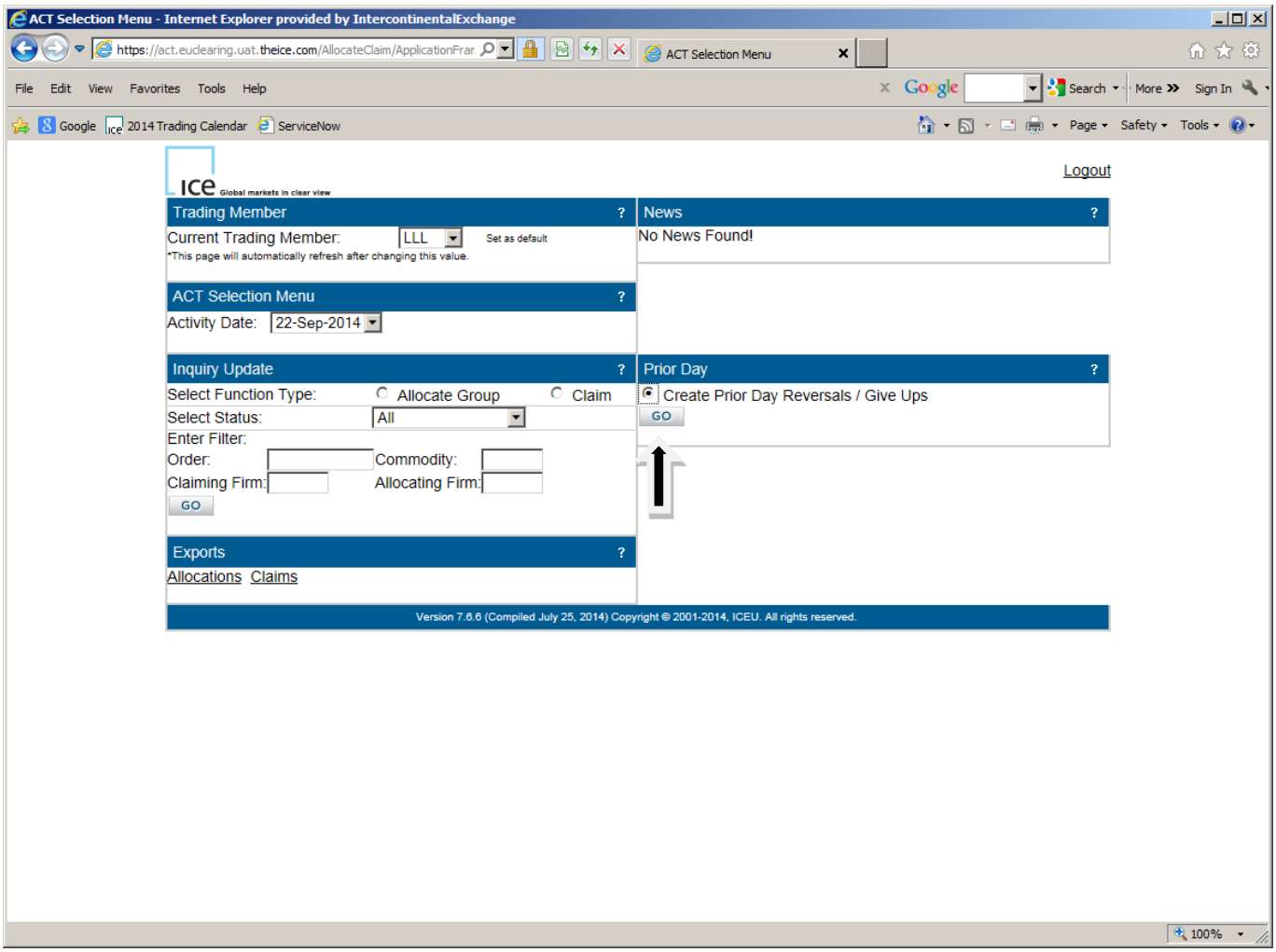
The Prior Day Transactions screen contains give-up transactions that were allocated (From) and claimed (To) by the associated Member. Only 'From' Members can initiate the give-up reversal process. The 'From' Member has the ability to give the trade to a different member once the reversal has been confirmed. The 'To' Member can give up/back a prior day claim.

By default, Prior day screen has number of blank rows set to 4. If the user wants to reverse more than 4 records from prior day search screen , the main screen number of rows needs to be changed first to number of reversals the clearing member wants to intiate from Prior day search screen

6.1 Request a Prior Day Give-Up Reversal

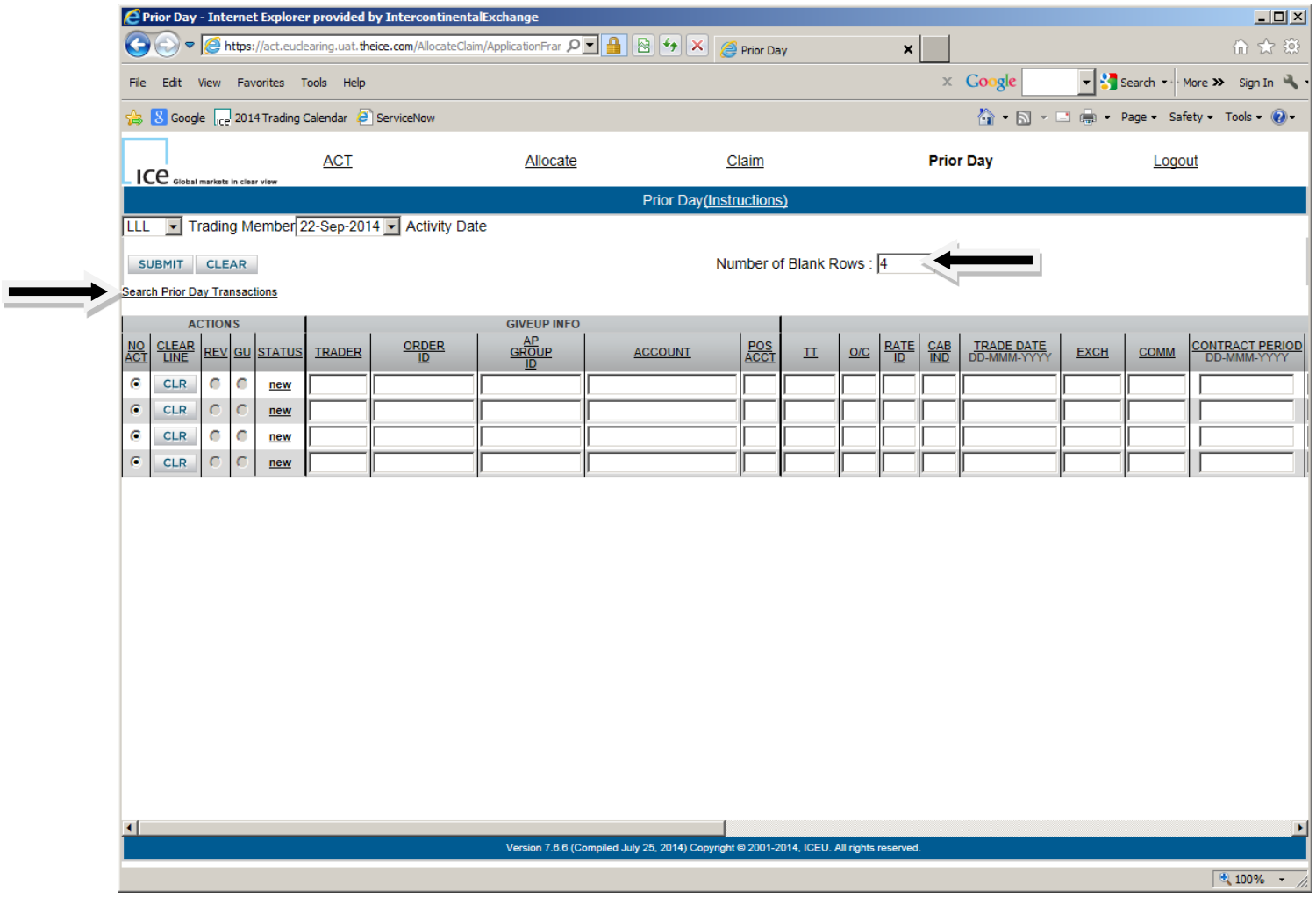
To reverse a previously cleared give-up transaction, member users will use the Prior Day feature.

1. From the ACT Selection Menu, select the Create Prior Day Reversals/Give Ups button and click the Go button or if already within the ACT application, click on the Prior Day link within the navigation bar at the top of the screen.

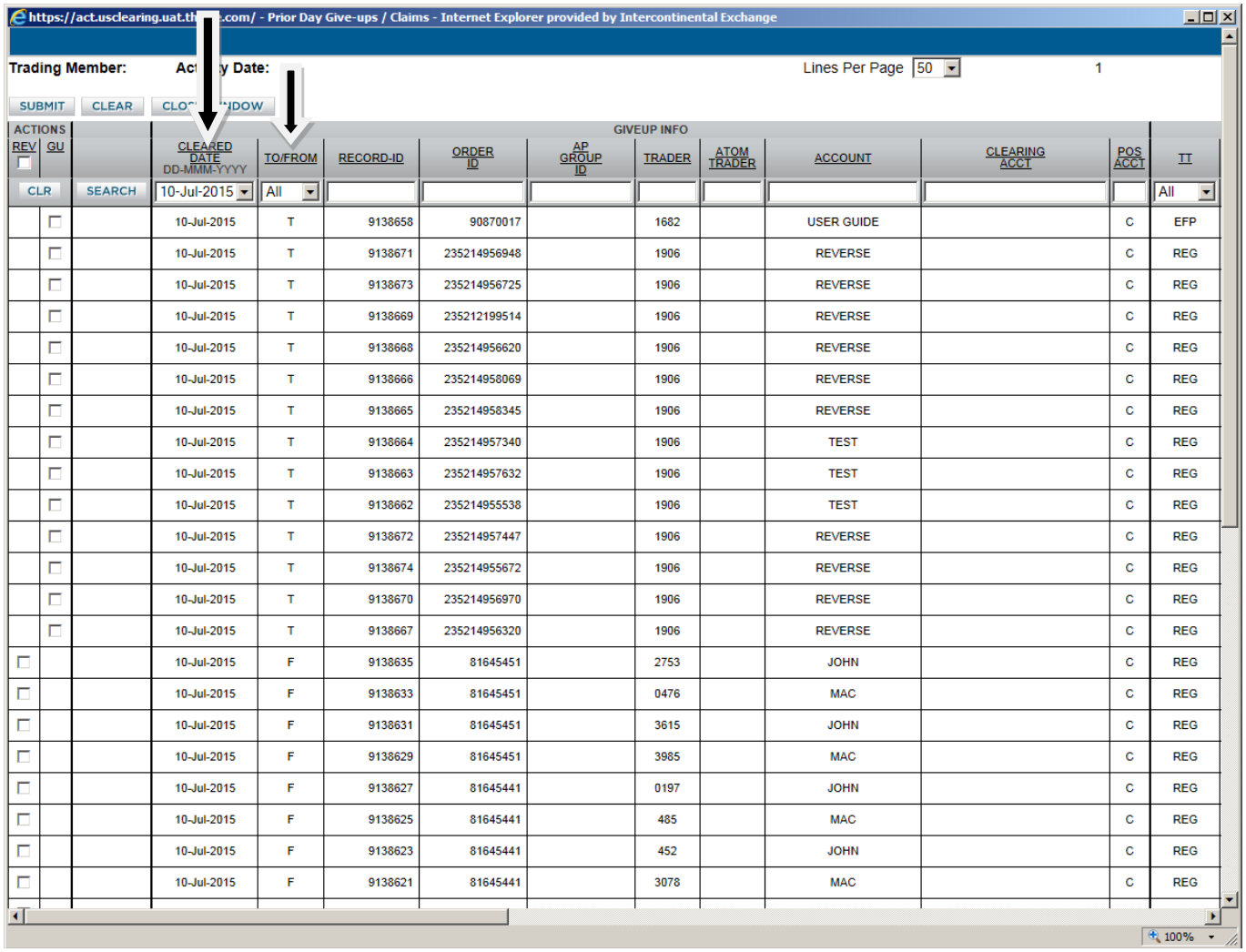


2. Once the browser has refreshed, the **Prior Day** screen is displayed. To begin the T+1 or T+2 reversal processes, ACT users will use the Search Prior Day Transactions feature that automates the give-up reversal request process. Please note, If more than four as/of reversal requests need to be submitted at one time, add additional blank rows first by inputting the number of rows required in the **Number of Blank Rows** field, then click the Submit button.

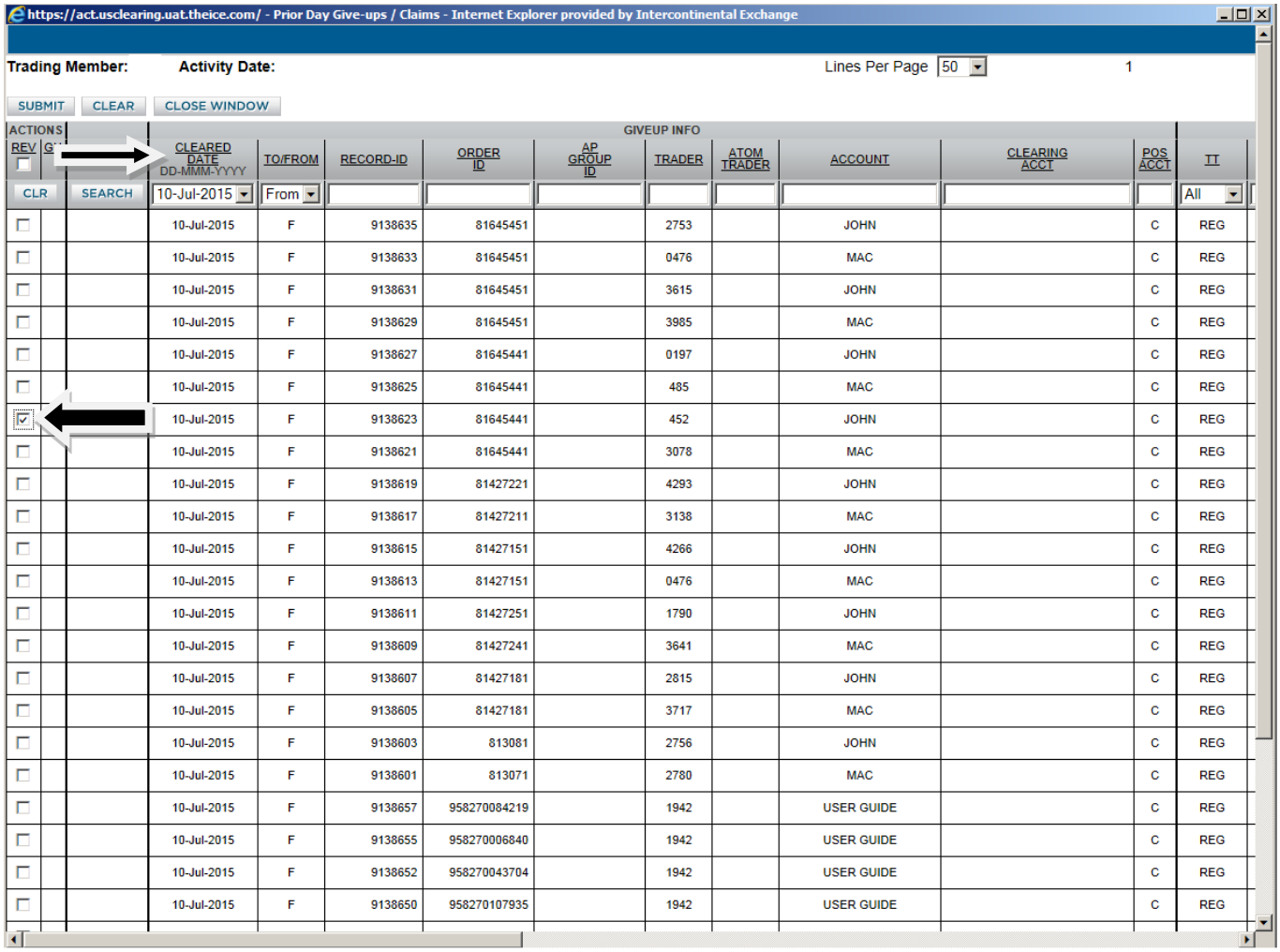
3. Next, click on the **Search Prior Day Transactions** link.



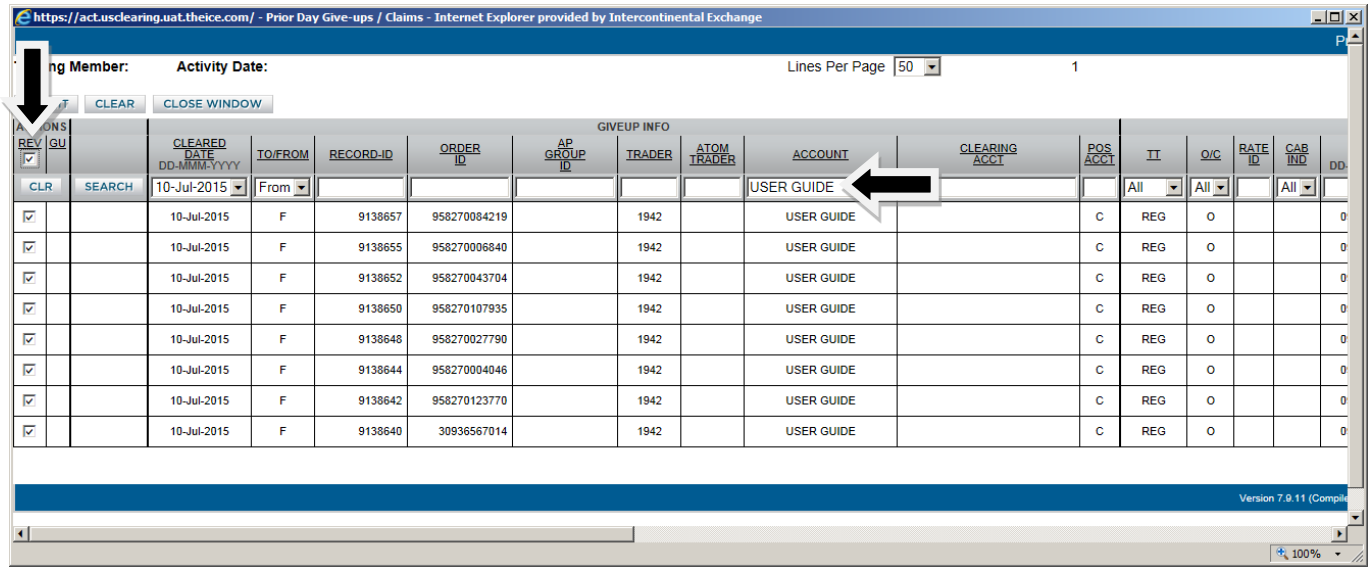
4. A new window will open that allows users to search for previously cleared give-ups/take-ups which are available for up to two prior clearing days. Under the cleared date column there is a drop down for you to select the date you require. The To/From column can be filtered to assist with your search criteria. All 'TO' trades will show fully processed take ups you accepted. The 'FROM' trades will show fully processed trades you gave up and were accepted by the opposite entity.



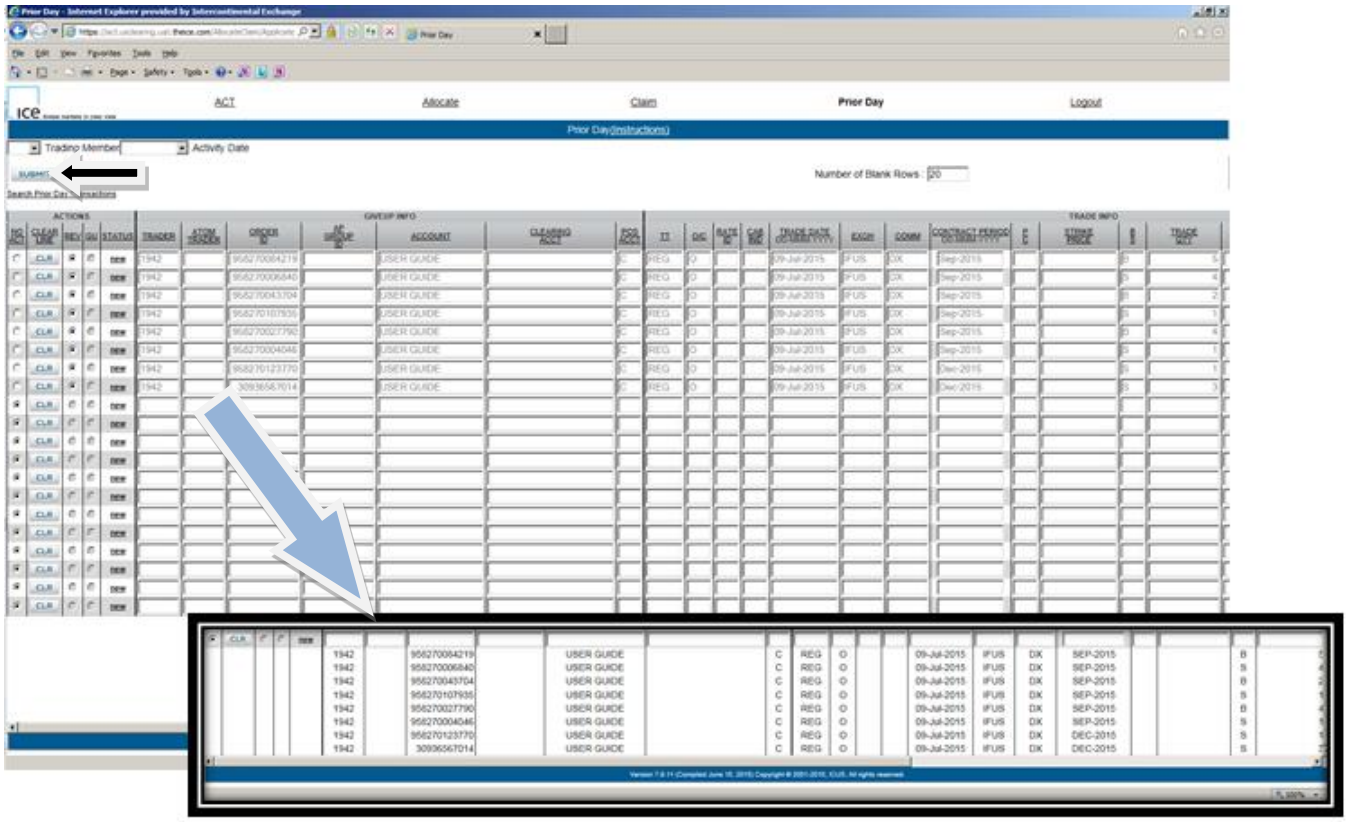
5. To reverse an individual as/of give-up transaction, locate the transaction using the **Search** feature. Once the trade is located, the reversal process is initiated by clicking an individual **Rev** check box that appears next to the applicable transaction. Click the **Submit** button to close the **Prior Day Transactions** screen and load the reversal request to the main Prior Day (Instructions) screen.



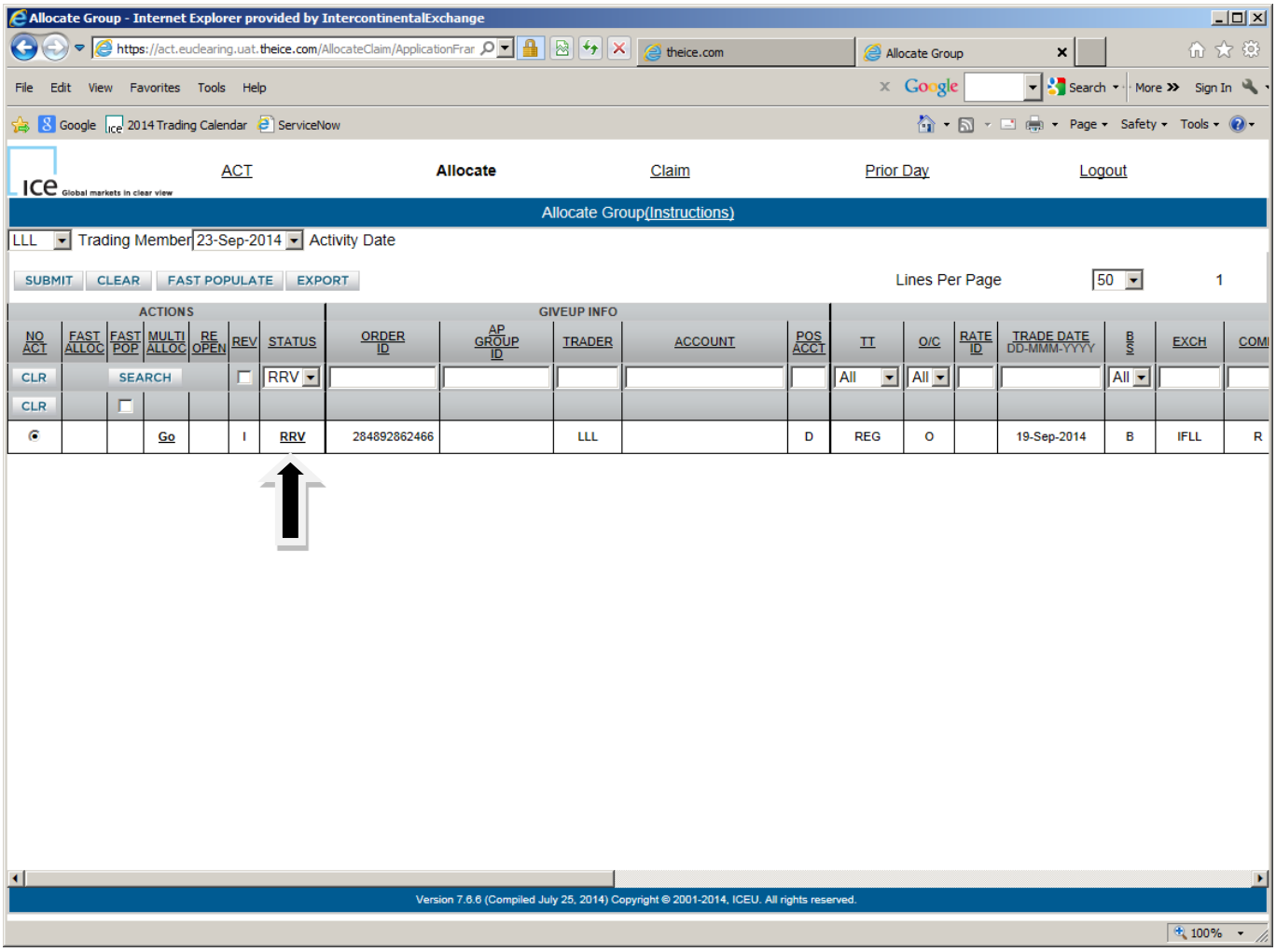
6. To reverse a group of as/of give-up transaction, locate the group of transactions using the **Search** feature. Once the as/of give-up transactions have been located, the reversal process is initiated by clicking the **Rev All** check box that appears at top of the **Action** column. Click the **Submit** button to close the **Prior Day Transactions** screen and load the reversal requests to the main Prior Day (Instructions) screen.



7. The **Prior Day** screen **Submit** action will automatically populate the **Prior Day Transaction** screen. At this point, the Member user has an opportunity to review the applicable previous business day give-up reversal to insure the correct record to reverse has been uploaded. Click **Submit**. Once processed, the as /of Reversal Request(s) will appear at the bottom of the table.



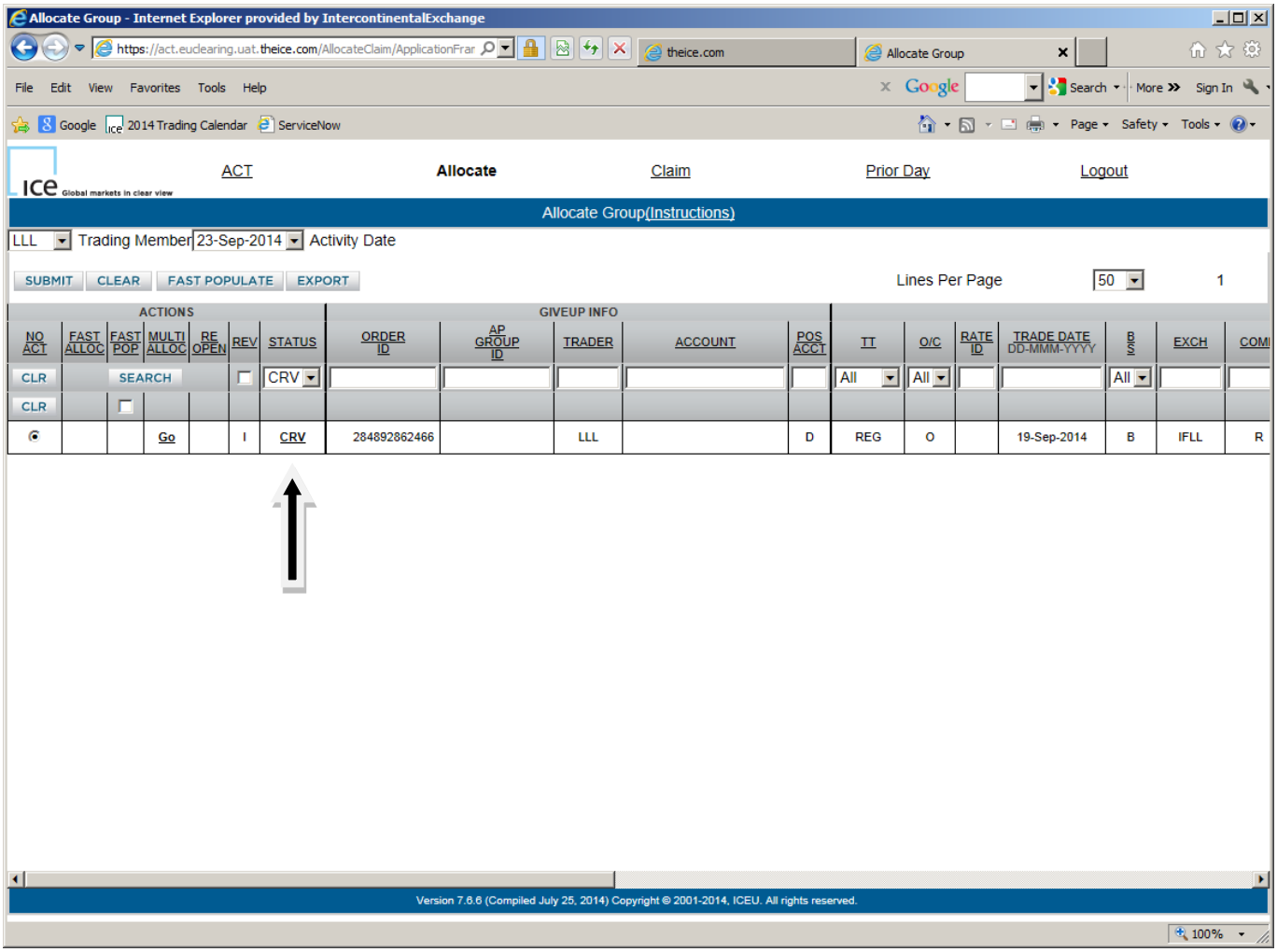
8. Then on the navigation bar of the ACT selection Menu, select the Allocate button. The prior day reversal trades will be shown here with a status of RRV.
9. After Reversing of the Prior day group, RRV can be deleted from Allocation detail screen. When RRV is deleted the check box to reverse the cleared claim in the Prior day screen enables, and allows the user to reverse the transaction again



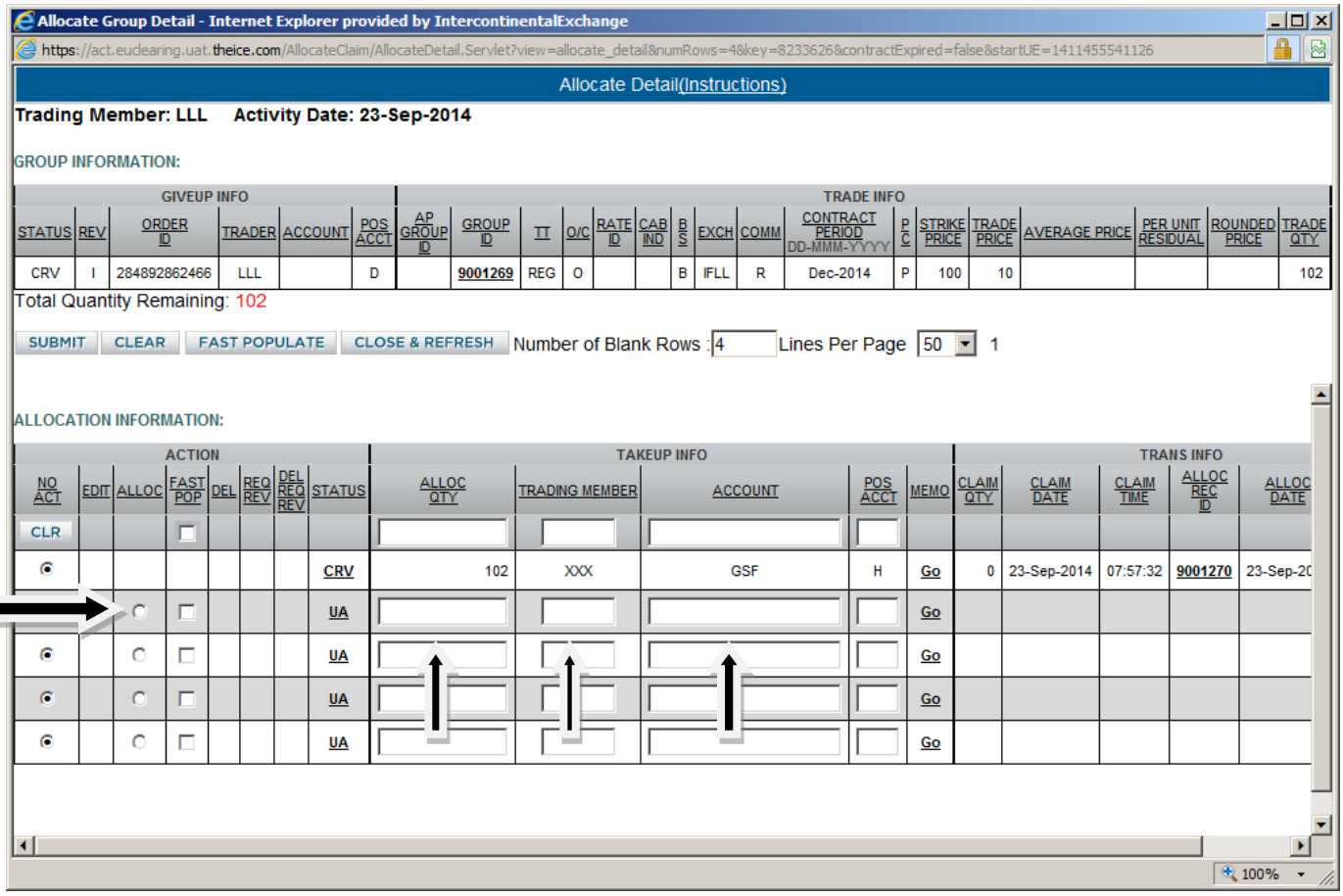
10. All the fields are searchable in Search Prior day Transaction screen

11. The quantity is editable in Prior day give-up

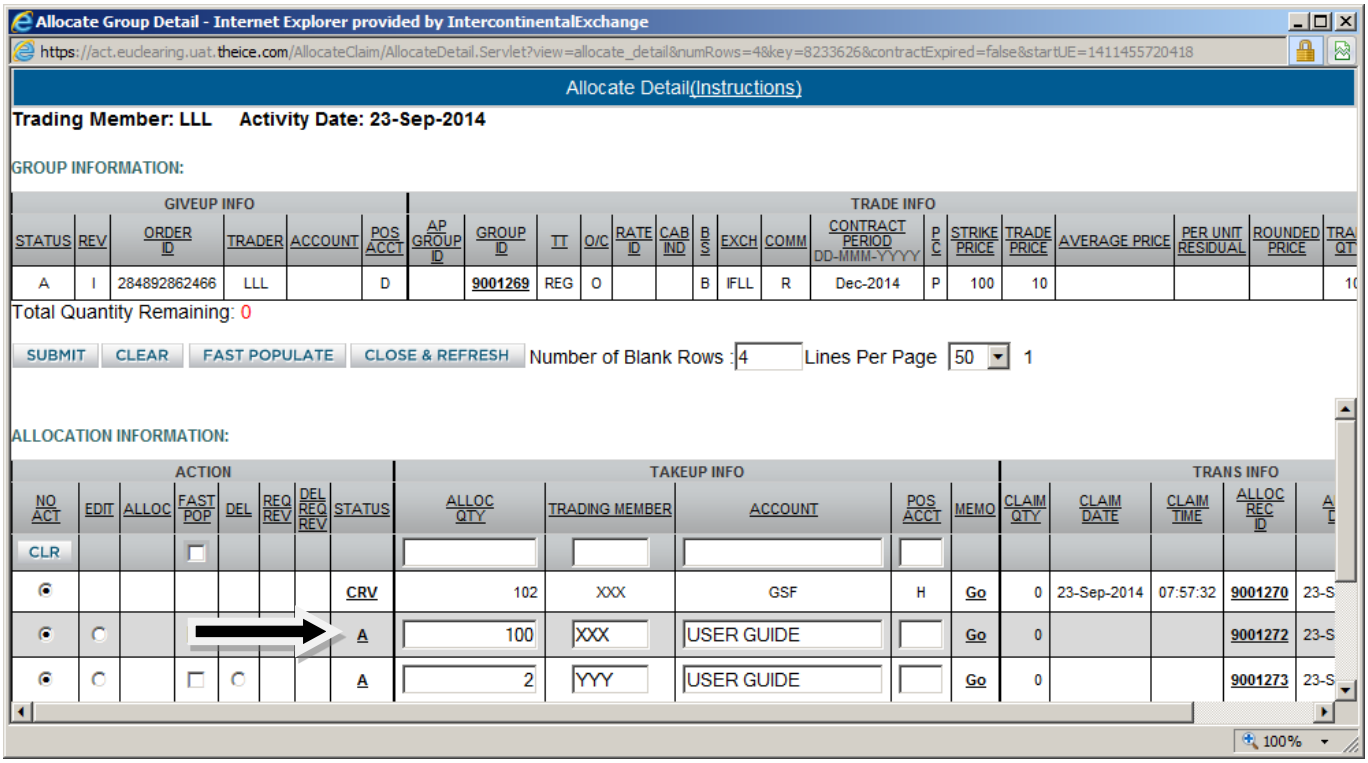
12. The Claiming Member can now accept the reversal via the Claim Screen. Once accepted, the trade will be in a CRV status.



13. Once the trade is in a CRV status the original member has the ability to allocate all or part of the volume back to the member they initially gave it to or allocate all or part of the trade to another member entirely. To do this, click the GO button and an Allocate Detail screen appears. Click the ALLOC button and complete the Alloc Qty, Trading Member and/ or Account and CTI (IFUS and IFED only) code and then click SUBMIT. Once allocated the trade status will change to A for Allocated. These will now be ready for the corresponding members to accept on the CLAIM screen in ACT in the same behavioural way as top day business.

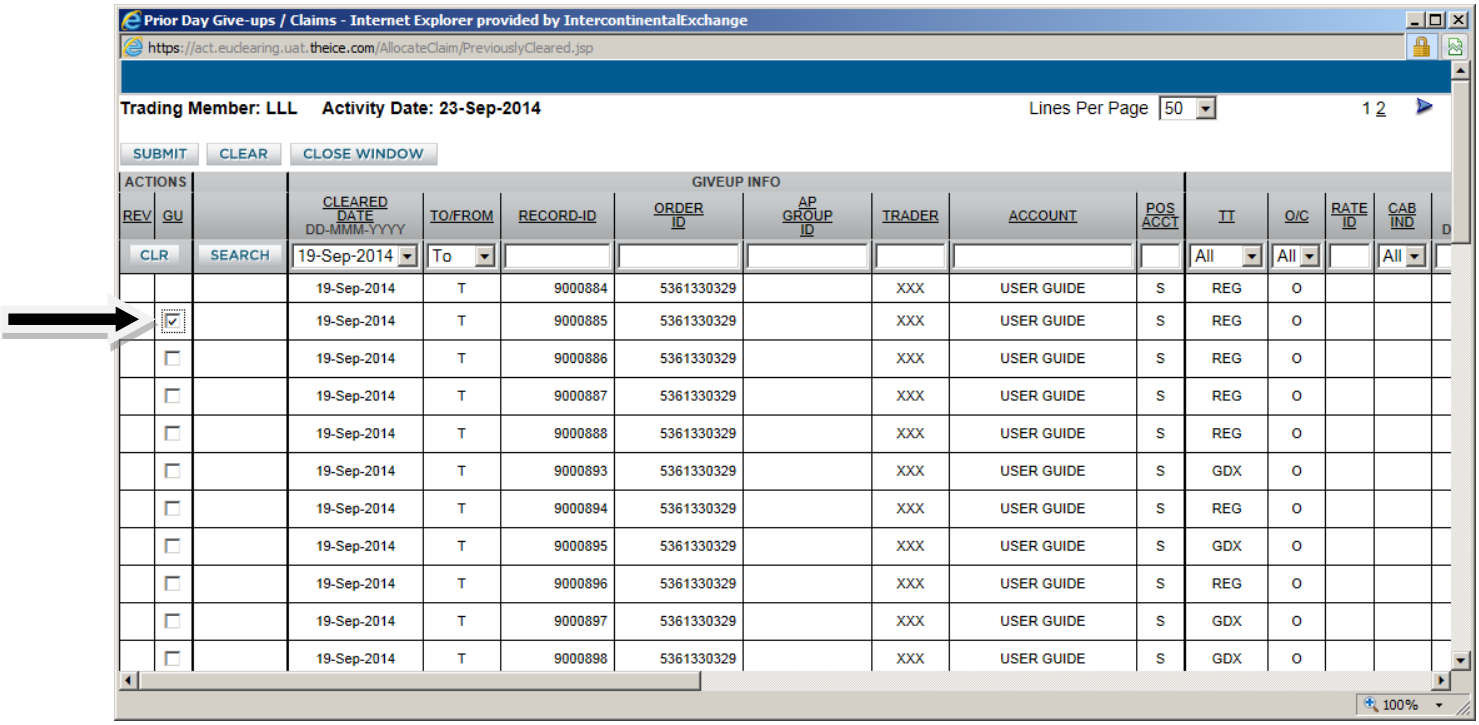

Allocate Group Detail - Internet Explorer provided by IntercontinentalExchange
https://act.euclearing.uat.theice.com/AllocateClaim/AllocateDetail.Servlet?view=allocate_detail&numRows=4&key=8233626&contractExpired=false&startUE=1411455541126
Allocate Detail(Instructions)
Trading Member: LLL Activity Date: 23-Sep-2014
GROUP INFORMATION:
GIVEUP INFO
TRADE INFO
STATUS REV ORDER ID TRADER ACCOUNT POS ACCT AP GROUP ID GROUP ID TT O/C RATE ID CAB IND B S EXCH COMM CONTRACT PERIOD DD-MMM-YYYY P C STRIKE PRICE TRADE PRICE AVERAGE PRICE PER UNIT RESIDUAL ROUNDED PRICE TRADE QTY
CRV I 284892862466 LLL D 9001269 REG O B IFLL R Dec-2014 P 100 10 102
Total Quantity Remaining: 102
SUBMIT CLEAR FAST POPULATE CLOSE & REFRESH Number of Blank Rows : 4 Lines Per Page 50 1
ALLOCATION INFORMATION:
ACTION
TAKEUP INFO
TRANS INFO
NO ACT EDIT ALLOC FAST POP DEL REQ REV DEL REQ REV STATUS ALLOC QTY TRADING MEMBER ACCOUNT POS ACCT MEMO CLAIM QTY CLAIM DATE CLAIM TIME ALLOC REC ID ALLOC DATE
CLR
CRV 102 XXX GSF H Go 0 23-Sep-2014 07:57:32 9001270 23-Sep-20
UA Go
UA Go
UA Go
UA Go
100%

14. Once allocated the trade status will change to A for Allocated. These will now be ready for the corresponding members to accept on the CLAIM screen in ACT in the same behavioural way as top day business.

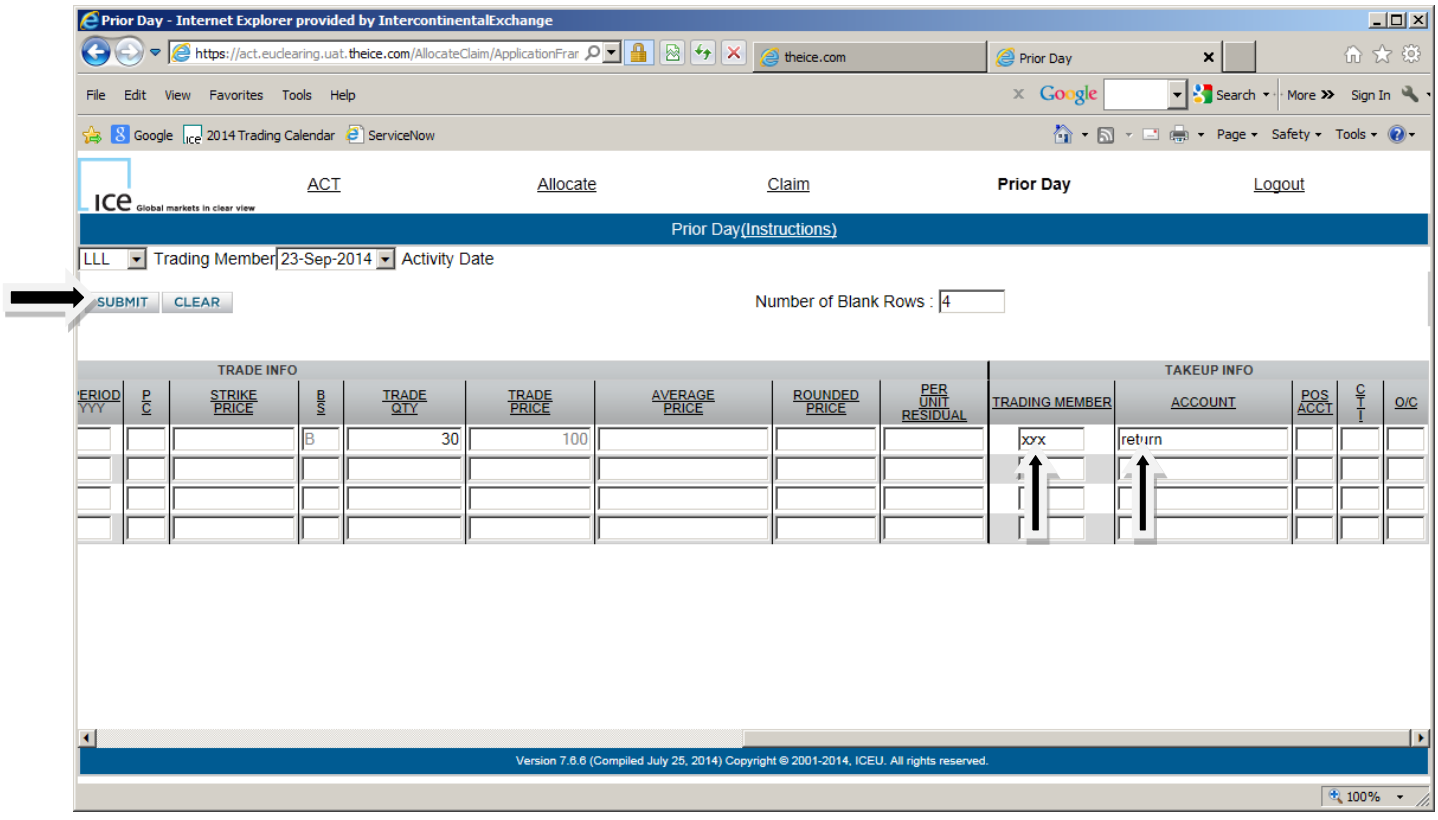

Allocate Group Detail - Internet Explorer provided by IntercontinentalExchange
https://act.euclearing.uat.theice.com/AllocateClaim/AllocateDetail.Servlet?view=allocate_detail&numRows=48&key=8233626&contractExpired=false&startUE=1411455720418
Allocate Detail(Instructions)
Trading Member: LLL Activity Date: 23-Sep-2014
GROUP INFORMATION:
GIVEUP INFO
TRADE INFO
STATUS REV ORDER ID TRADER ACCOUNT POS ACCT AP GROUP ID GROUP ID TT O/C RATE ID CAB IND B S EXCH COMM CONTRACT PERIOD DD-MMM-YYYY P C STRIKE PRICE TRADE PRICE AVERAGE PRICE PER UNIT RESIDUAL ROUNDED PRICE TRA QT
A I 284892862466 LLL D 9001269 REG O B IFLL R Dec-2014 P 100 10
Total Quantity Remaining: 0
SUBMIT CLEAR FAST POPULATE CLOSE & REFRESH Number of Blank Rows : 4 Lines Per Page 50 1
ALLOCATION INFORMATION:
ACTION
TAKEUP INFO
TRANS INFO
NO ACT EDIT ALLOC FAST POP DEL REQ REV DEL REQ REV STATUS ALLOC QTY TRADING MEMBER ACCOUNT POS ACCT MEMO CLAIM QTY CLAIM DATE CLAIM TIME ALLOC REC ID A D
CLR
CRV 102 XXX GSF H Go 0 23-Sep-2014 07:57:32 9001270 23-S
A 100 XXX USER GUIDE Go 0 9001272 23-S
A 2 YYY USER GUIDE Go 0 9001273 23-S
100%

6.2 Give Up/Back a Prior Day Claim

1. In the Prior Day Transactions (Instructions) screen select the GU option on the claim that is to be given up and select Submit.


Prior Day Give-ups / Claims - Internet Explorer provided by IntercontinentalExchange
https://act.euclearing.uat.theice.com/AllocateClaim/PreviouslyCleared.jsp
Trading Member: LLL Activity Date: 23-Sep-2014
Lines Per Page 50
1 2
SUBMIT
CLEAR
CLOSE WINDOW
ACTIONS
GIVEUP INFO
REV
GU
CLEARED DATE DD-MMM-YYYY
TO/FROM
RECORD-ID
ORDER ID
AP GROUP ID
TRADER
ACCOUNT
POS ACCT
TT
O/C
RATE ID
CAB IND
CLR
SEARCH
19-Sep-2014
To
All
19-Sep-2014 T 9000884 5361330329 XXX USER GUIDE S REG O
19-Sep-2014 T 9000885 5361330329 XXX USER GUIDE S REG O
19-Sep-2014 T 9000886 5361330329 XXX USER GUIDE S REG O
19-Sep-2014 T 9000887 5361330329 XXX USER GUIDE S REG O
19-Sep-2014 T 9000888 5361330329 XXX USER GUIDE S REG O
19-Sep-2014 T 9000893 5361330329 XXX USER GUIDE S GDX O
19-Sep-2014 T 9000894 5361330329 XXX USER GUIDE S REG O
19-Sep-2014 T 9000895 5361330329 XXX USER GUIDE S GDX O
19-Sep-2014 T 9000896 5361330329 XXX USER GUIDE S REG O
19-Sep-2014 T 9000897 5361330329 XXX USER GUIDE S GDX O
19-Sep-2014 T 9000898 5361330329 XXX USER GUIDE S GDX O
100%

2. The Prior Day screen Submit action will automatically populate the Prior Day Instruction screen. At this point, the Member user has an opportunity to review the claim that will be given up/returned. To give up/return the trade scroll to the right and populate the trading member and account columns and click submit.



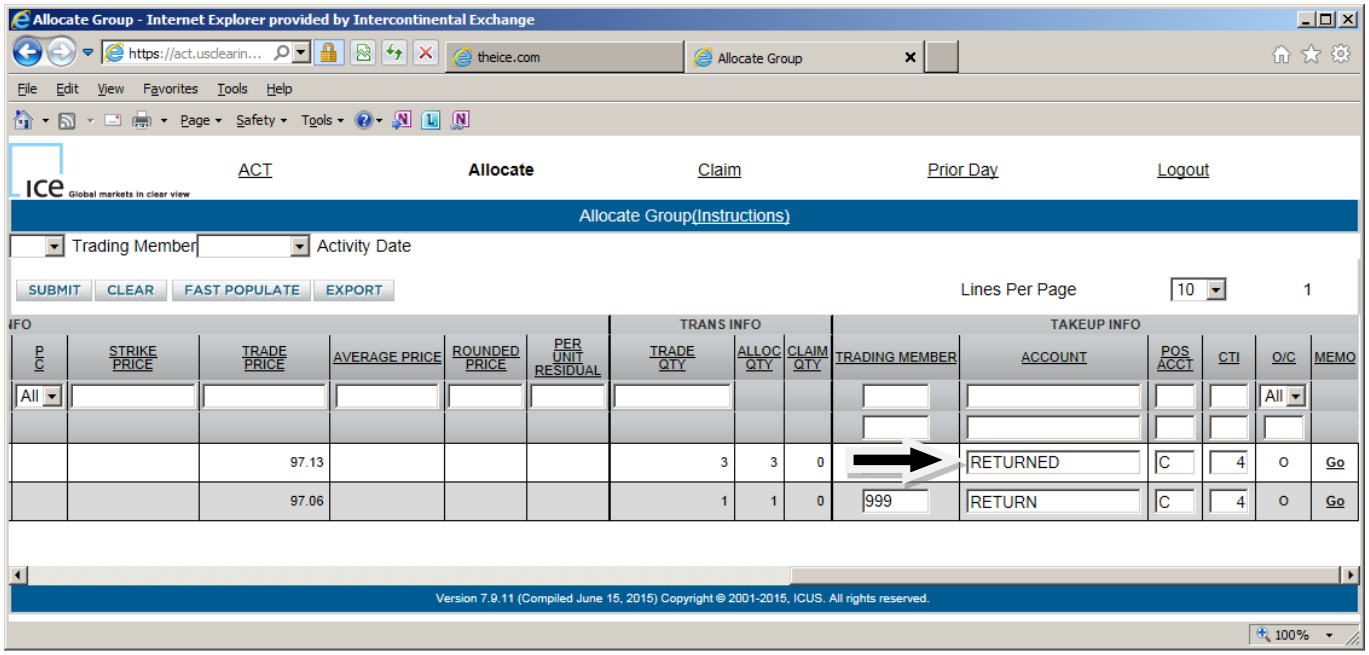
3. The claiming Member can then claim the trade on the claim page just the same as if it was a top day give up.

7 Modifying Transactions

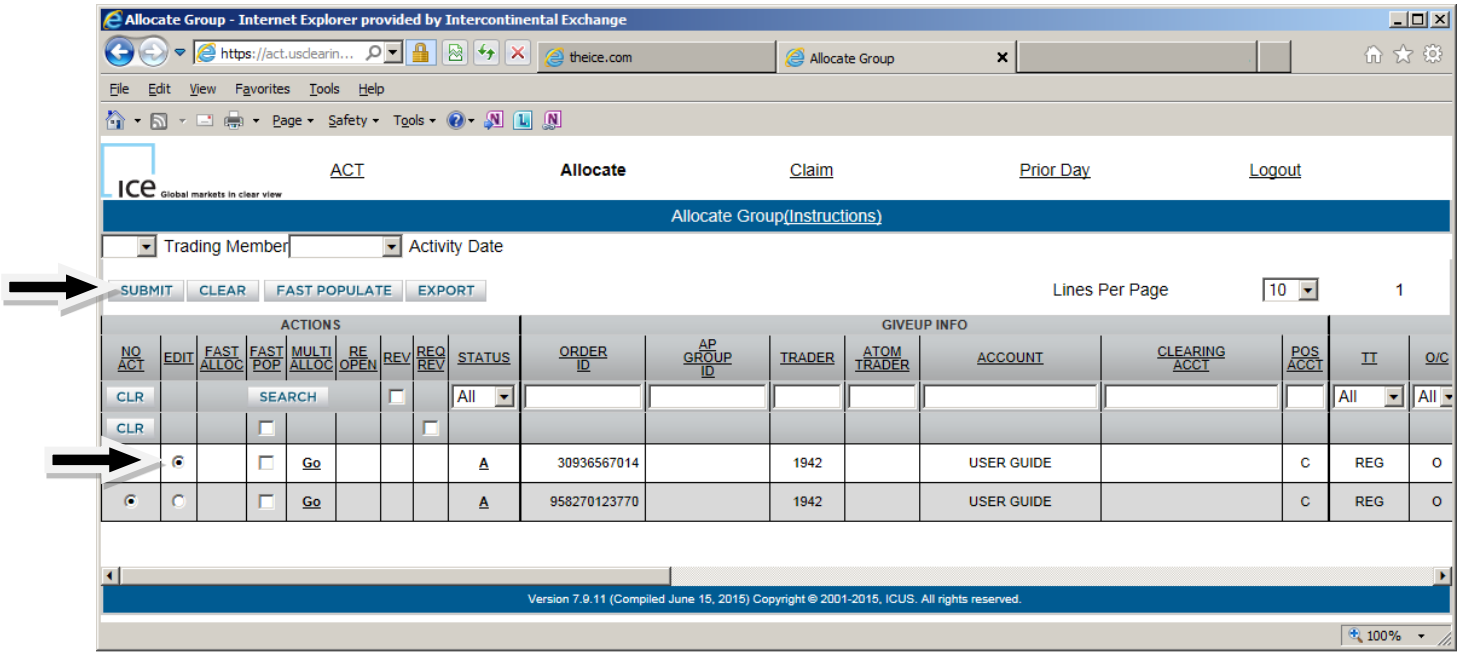
7.1 Modifying Allocation Information Single Give-up

The Allocating Member can edit take-up information for a single allocation that has not yet been claimed.

1. Update applicable Take-Up information



2. Once Take-up information has changed on an unclaimed allocation, the **EDIT** radio button for the applicable allocation automatically turns on.



3. Click the submit button to save edit.

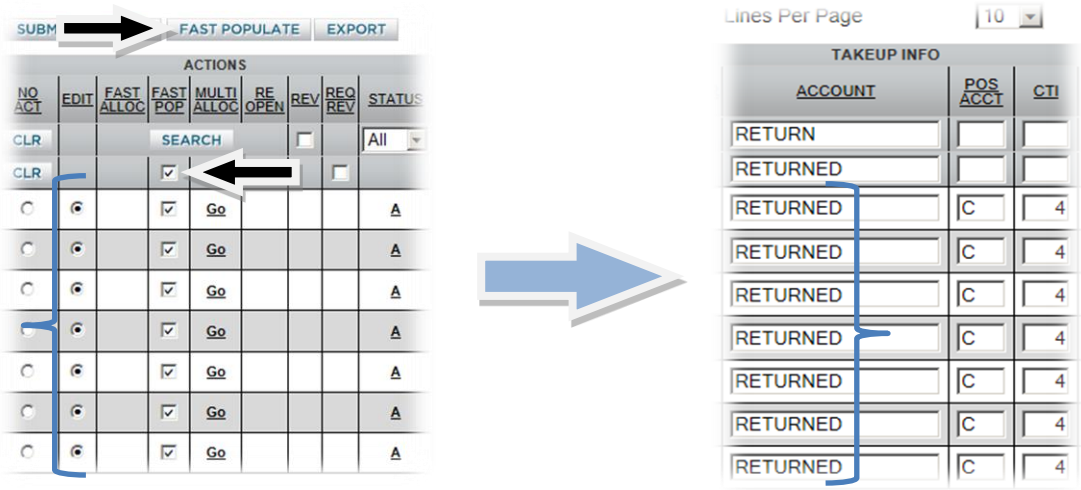
7.2 Mass Modification of Singly Allocated Give-up Transactions

The allocation member can mass edit multiple singly allocated give-up transactions simultaneously.

1. Use the search line feature to isolate a group of give-up transactions to be edited simultaneously.

2. Input the Take-Up Info to be updated in the applicable Fast Pop field.

3. Check the **Fast-Pop All** box or each individual transaction **Fast-Pop** box for give-up allocations to be edited, then click the **Fast Populate** button. This will update each checked allocation with the information in **the Fast Pop field** and turn on the **Edit** radio button automatically**.**

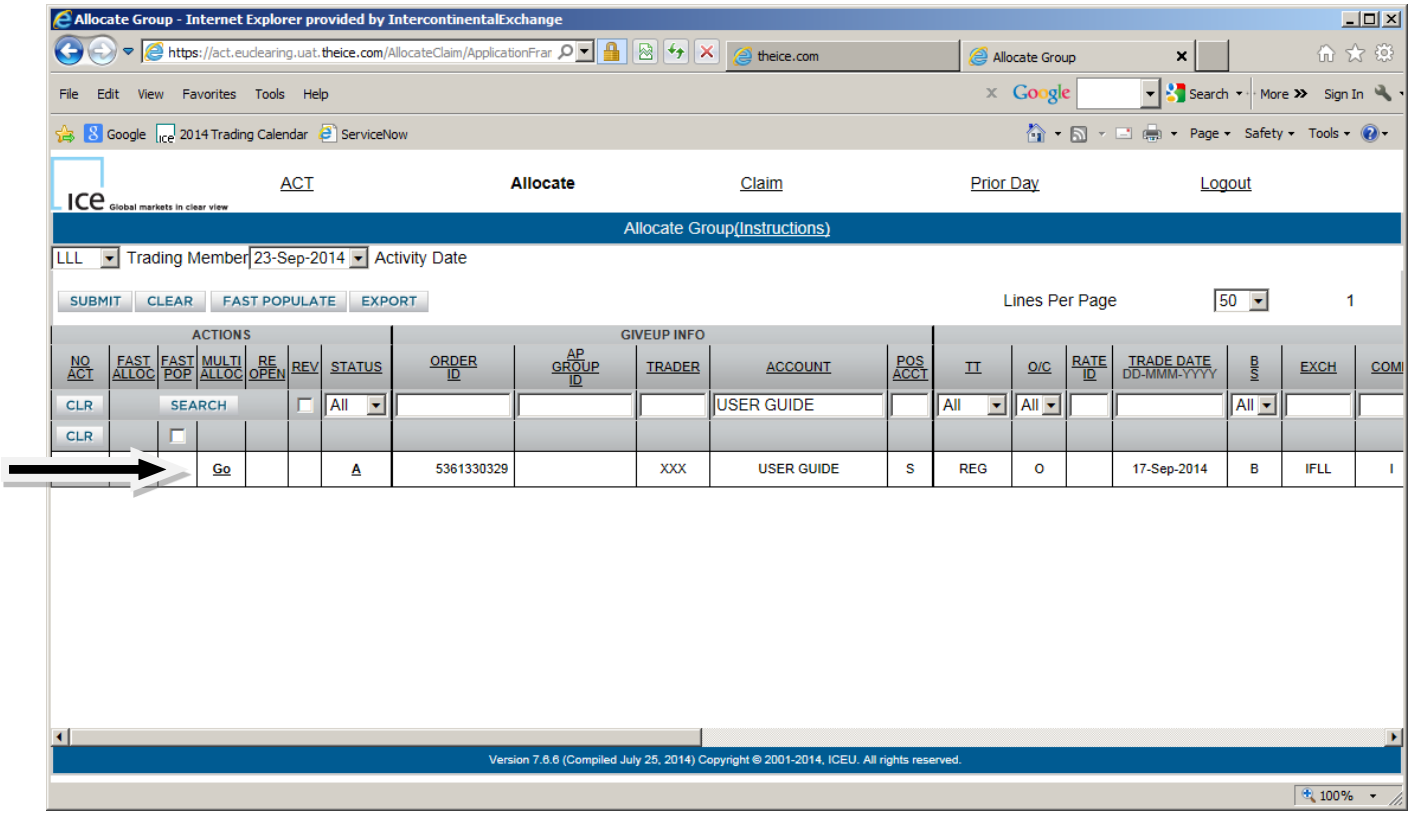


1. Click the **Submit** button to save the mass updates.

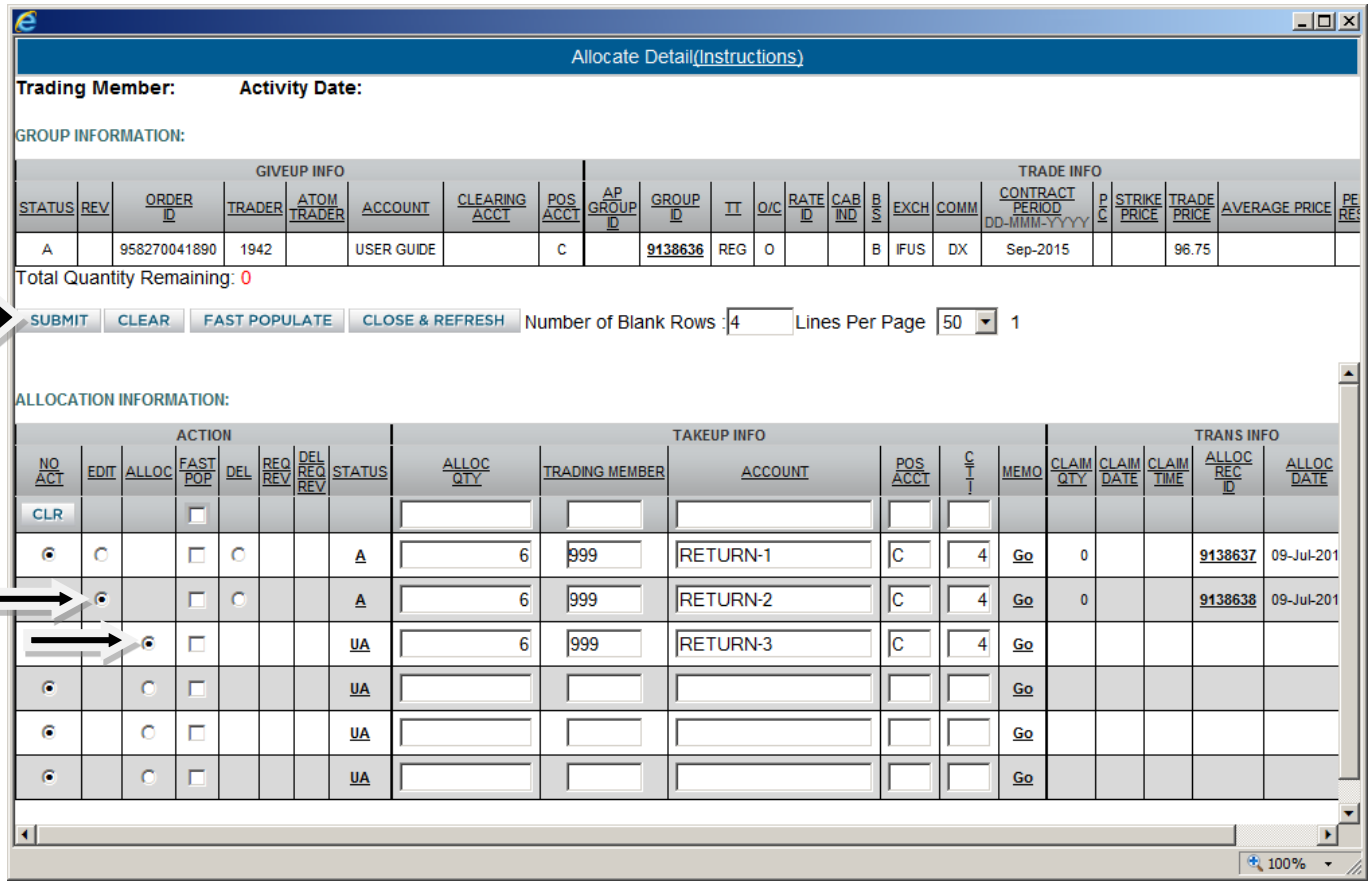
7.3 Modifying Multi Allocated Give-Up Transaction Information

The Allocating Member can edit multi-allocated give-up information for allocations that have not yet been claimed.

1. In the Allocate Group screen, click the Go link next to the allocation to be edited.



2. The Allocate Detail screen will be displayed. For current allocations, click the **EDIT** radio button and make necessary changes to the Quantity, Trading Member, Account and/or Position Account, then click the **SUBMIT** button. Alternatively, an unclaimed allocation can be further split and allocated to more than one destination by clicking the **ALLOC** radio button, further populating the Quantity, Trading Member, Account and/or Position Account field. Click the **SUBMIT** button once all requisite information has been provided.


Allocate Detail(Instructions)
Trading Member:
Activity Date:
GROUP INFORMATION:
GIVEUP INFO
TRADE INFO
STATUS REV ORDER ID TRADER ATOM TRADER ACCOUNT CLEARING ACCT POS ACCT AP GROUP ID GROUP ID TT O/C RATE ID CAB IND B/S EXCH COMM CONTRACT PERIOD DD-MMM-YYYY P/C STRIKE PRICE TRADE PRICE AVERAGE PRICE
A 958270041890 1942 USER GUIDE C 9138636 REG O B IFUS DX Sep-2015 96.75
Total Quantity Remaining: 0
SUBMIT CLEAR FAST POPULATE CLOSE & REFRESH Number of Blank Rows : 4 Lines Per Page 50 1
ALLOCATION INFORMATION:
ACTION
TAKEUP INFO
TRANS INFO
NO ACT EDIT ALLOC FAST POP DEL REQ REV DEL REQ REV STATUS ALLOC QTY TRADING MEMBER ACCOUNT POS ACCT C T I MEMO CLAIM QTY CLAIM DATE CLAIM TIME ALLOC REC ID ALLOC DATE
CLR
A 6 999 RETURN-1 C 4 Go 0 9138637 09-Jul-201
A 6 999 RETURN-2 C 4 Go 0 9138638 09-Jul-201
UA 6 999 RETURN-3 C 4 Go
UA Go
UA Go
UA Go
100%

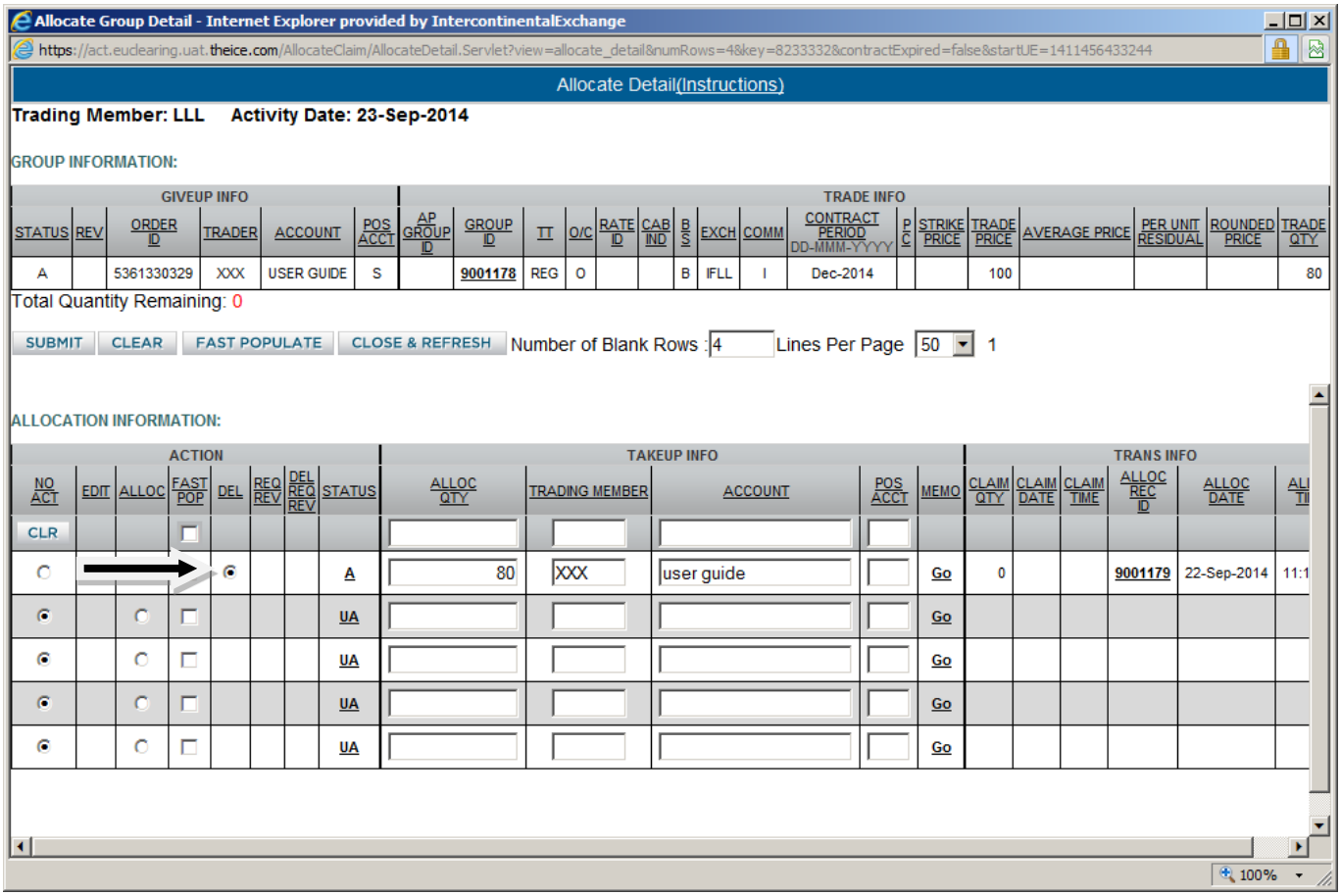
3. Click on the Close and Refresh button to close the screen.

7.4 Deleting an Unclaimed Give-up Allocation

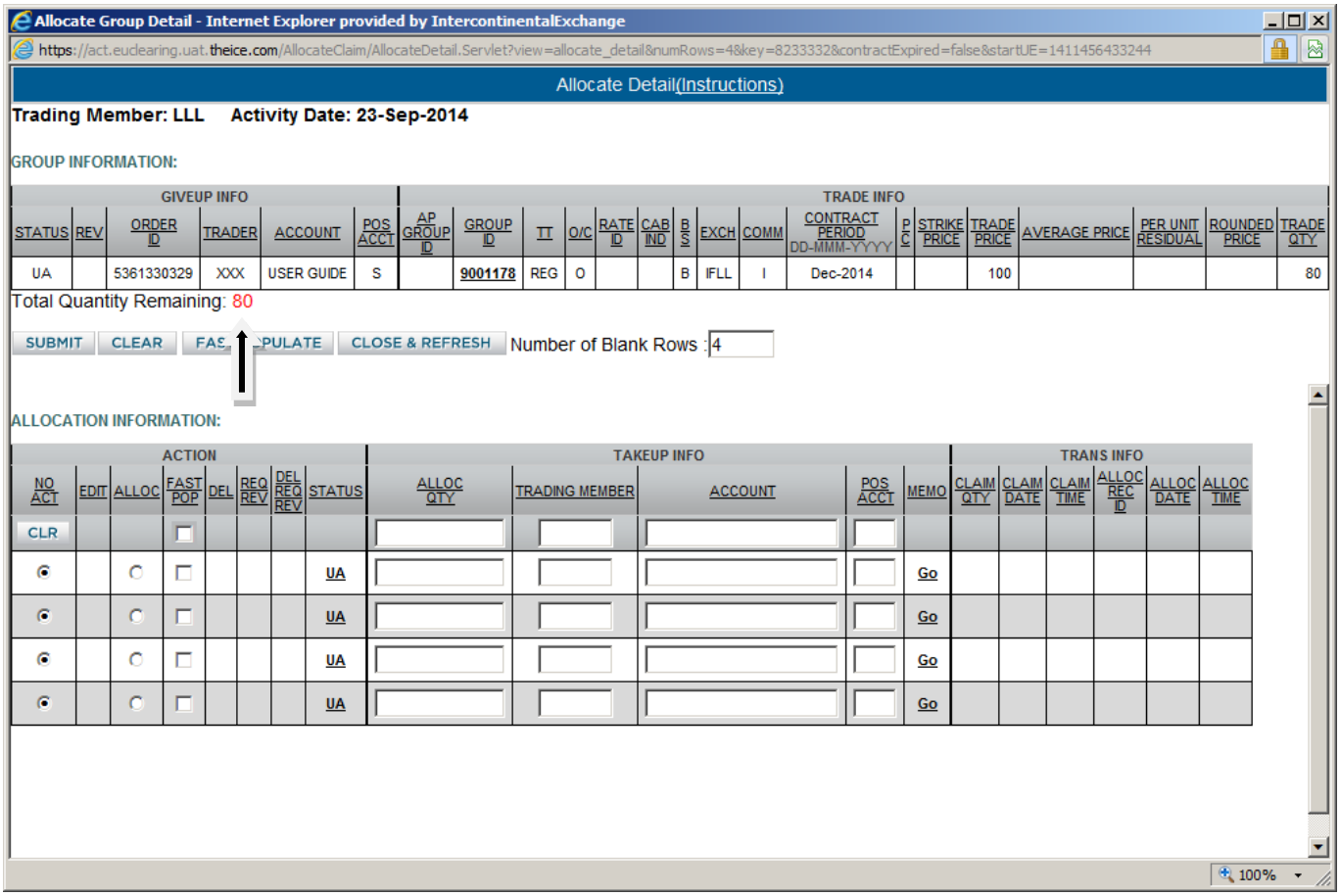
The Allocating Member can delete give-up allocations that have not yet been claimed.

1. In the Allocation Group screen, click the Go link next to group that needs an allocation to be deleted.

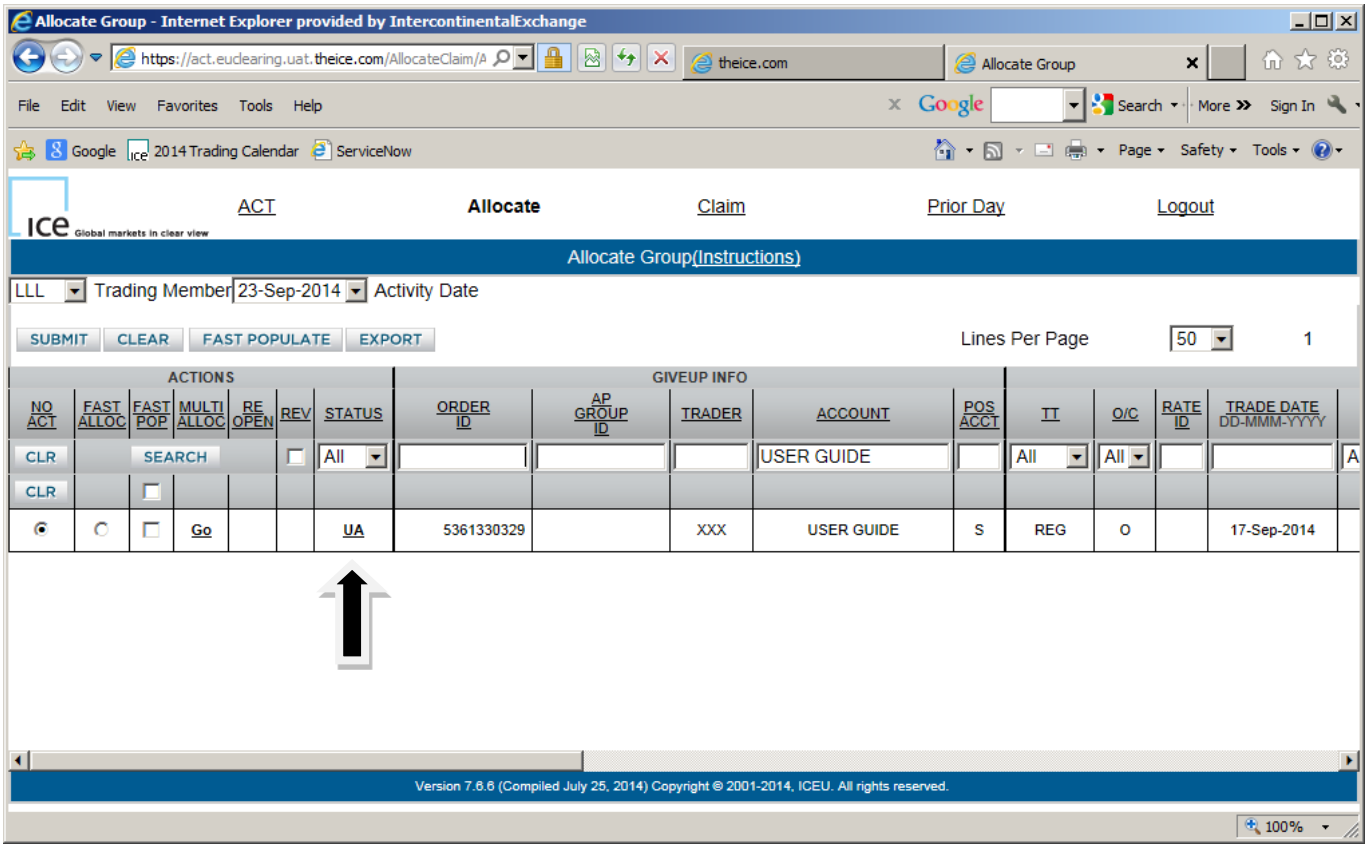
2. The Allocate Detail screen will open. Click the Del (Delete) button next to the allocation to be deleted, and then click on the Submit button.


Allocate Group Detail - Internet Explorer provided by IntercontinentalExchange
https://act.euclearing.uat.theice.com/AllocateClaim/AllocateDetail.Servlet?view=allocate_detail&numRows=4&key=8233332&contractExpired=false&startUE=1411456433244
Allocate Detail(Instructions)
Trading Member: LLL Activity Date: 23-Sep-2014
GROUP INFORMATION:
GIVEUP INFO
TRADE INFO
STATUS REV ORDER ID TRADER ACCOUNT POS ACCT AP GROUP ID GROUP ID TT O/C RATE ID CAB IND B/S EXCH COMM CONTRACT PERIOD DD-MMM-YYYY P/C STRIKE PRICE TRADE PRICE AVERAGE PRICE PER UNIT RESIDUAL ROUNDED PRICE TRADE QTY
A 5361330329 XXX USER GUIDE S 9001178 REG O B IFLL I Dec-2014 100 80
Total Quantity Remaining: 0
SUBMIT CLEAR FAST POPULATE CLOSE & REFRESH Number of Blank Rows : 4 Lines Per Page 50 1
ALLOCATION INFORMATION:
ACTION
TAKEUP INFO
TRANS INFO
NO ACT EDIT ALLOC FAST POP DEL REQ REV DEL REQ REV STATUS ALLOC QTY TRADING MEMBER ACCOUNT POS ACCT MEMO CLAIM QTY CLAIM DATE CLAIM TIME ALLOC REC ID ALLOC DATE
CLR
A 80 XXX user guide Go 0 9001179 22-Sep-2014
UA Go
UA Go
UA Go
UA Go
100%

3. Once the Allocate Detail screen has refreshed, the allocated give-up should no longer appear and Group Total Quantity Remaining Field should increase back to the original group amount. If needed, the give-up transaction can be re-allocated through use of the Allocate Detail screen at this time.


Allocate Group Detail - Internet Explorer provided by IntercontinentalExchange
https://act.euclearing.uat.theice.com/AllocateClaim/AllocateDetail.Servlet?view=allocate_detail&numRows=4&key=8233332&contractExpired=false&startUE=1411456433244
Allocate Detail(Instructions)
Trading Member: LLL Activity Date: 23-Sep-2014
GROUP INFORMATION:
GIVEUP INFO
TRADE INFO
STATUS REV ORDER ID TRADER ACCOUNT POS ACCT AP GROUP ID GROUP ID TT O/C RATE ID CAB IND B/S EXCH COMM CONTRACT PERIOD DD-MMM-YYYY P/C STRIKE PRICE TRADE PRICE AVERAGE PRICE PER UNIT RESIDUAL ROUNDED PRICE TRADE QTY
UA 5361330329 XXX USER GUIDE S 9001178 REG O B IFLL I Dec-2014 100 80
Total Quantity Remaining: 80
SUBMIT CLEAR CLOSE & REFRESH Number of Blank Rows : 4
ALLOCATION INFORMATION:
ACTION
TAKEUP INFO
TRANS INFO
NO ACT EDIT ALLOC FAST POP DEL REQ REV DEL REQ REV STATUS ALLOC QTY TRADING MEMBER ACCOUNT POS ACCT MEMO CLAIM QTY CLAIM DATE CLAIM TIME ALLOC REC ID ALLOC DATE ALLOC TIME
CLR
UA Go
UA Go
UA Go
UA Go
100%

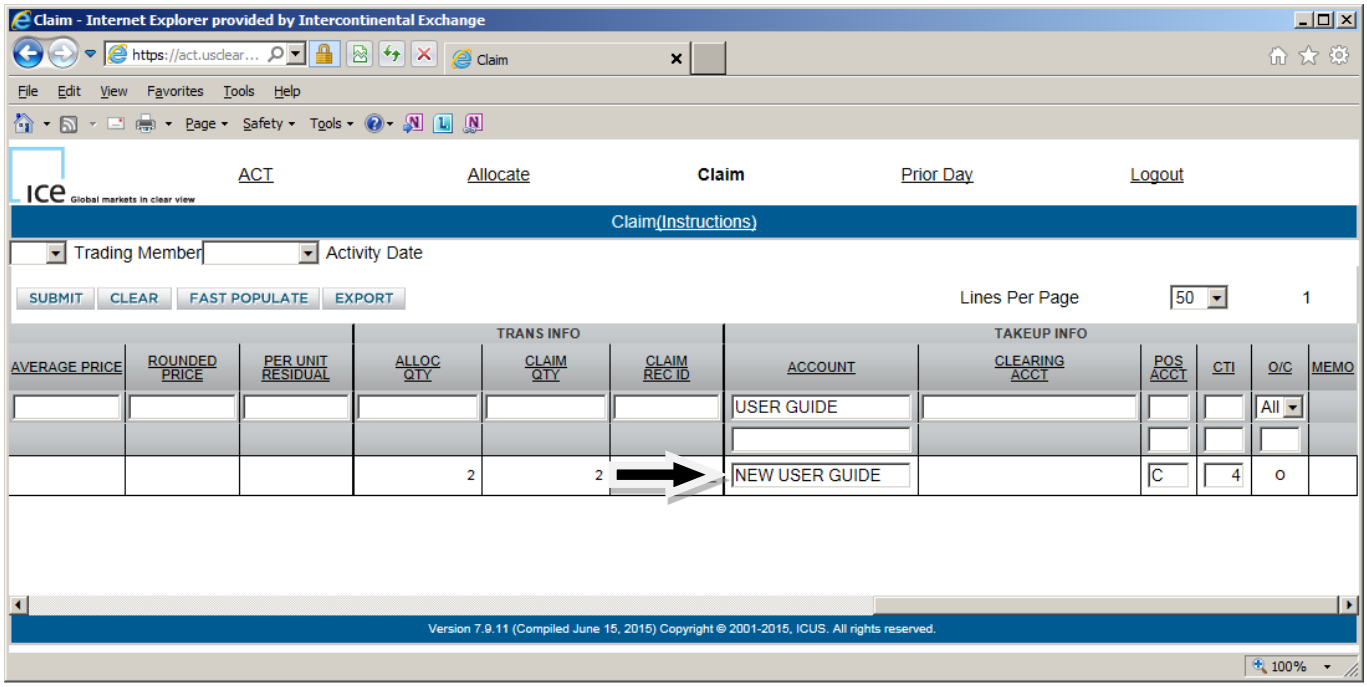
4. Furthermore, once the Allocate Detail screen has been closed and refreshed, within the Allocate Group screen, the applicable give-up's original status of A (Allocated) has been replaced with the status of UA (unallocated). If needed, the give-up group can be re-allocated through use of the Allocate Group screen at this time.



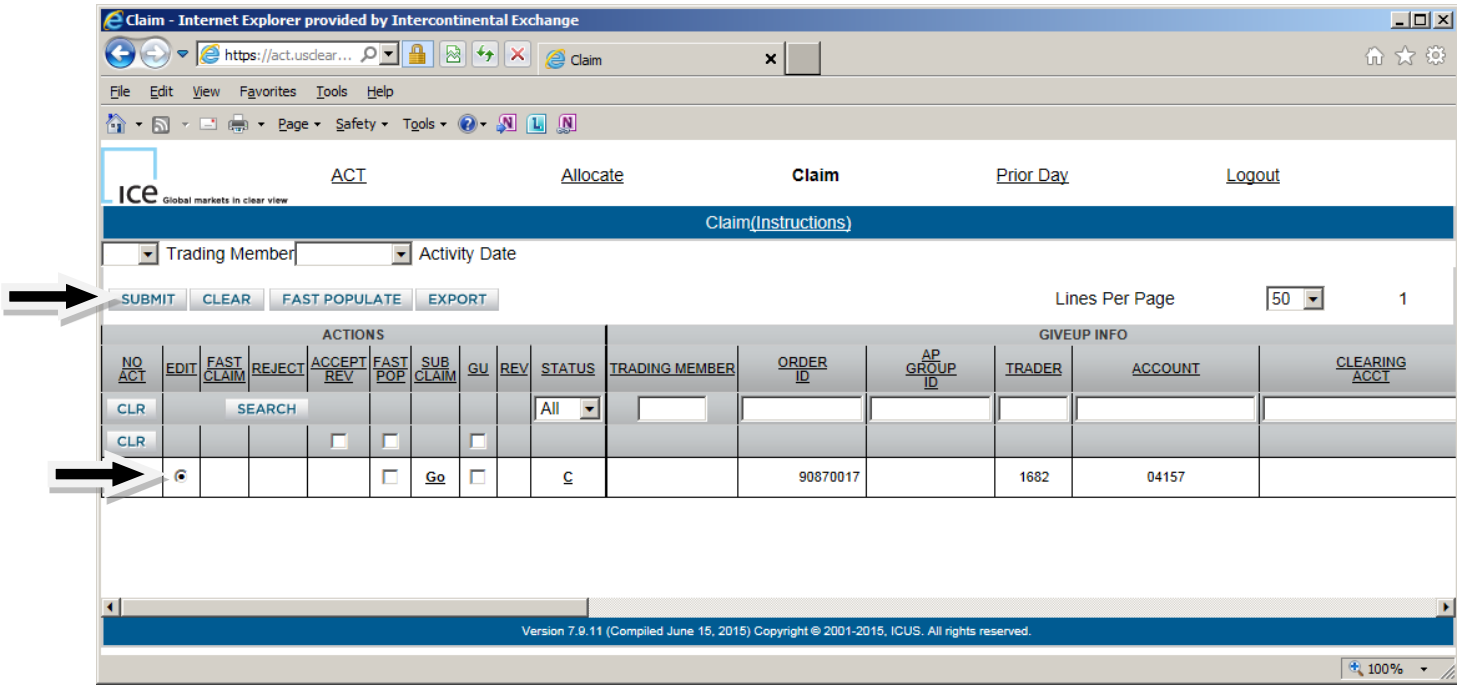
7.5 Modifying a Claimed Give-up

The Claiming Member can edit take-up information for a single claimed give-up.

1. Update applicable Take-Up information



5. Once Take-up information has changed on the claimed give-up, the **EDIT** radio button automatically turns on.

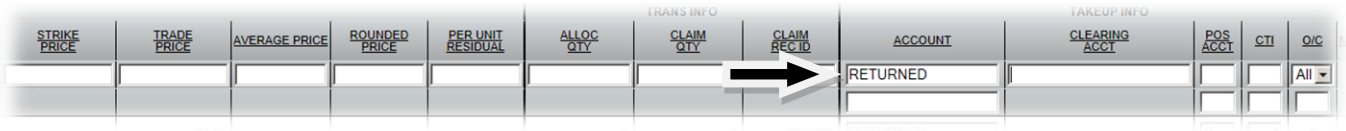


6. Click the submit button to save edit.

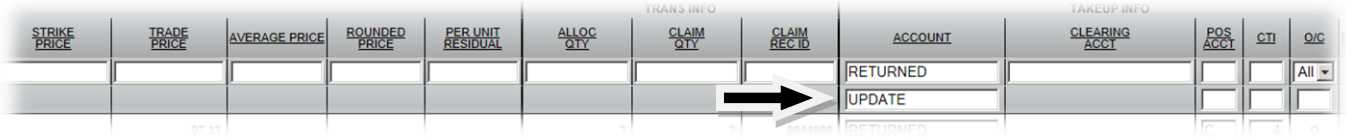
7.6 Mass Modification of Singly Claimed Give-up Transactions

The claim member can mass edit multiple singly claimed give-up transactions simultaneously.

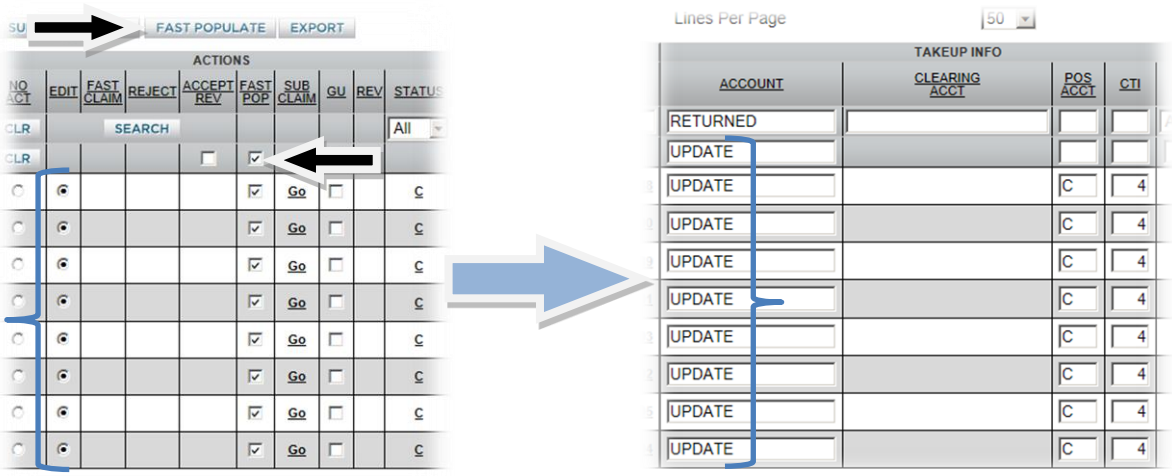
4. Use the search line feature to isolate a group of singly claimed give-up transactions to be edited simultaneously.



5. Input the Take-Up Info to be updated in the applicable Fast Pop field.



6. Check the **Fast-Pop All** box or each individual transaction **Fast-Pop** box for claimed give-ups to be edited, then click the **Fast Populate** button. This will update each checked allocation with the information in the **Fast Pop** field and turn on the **Edit** radio button automatically.



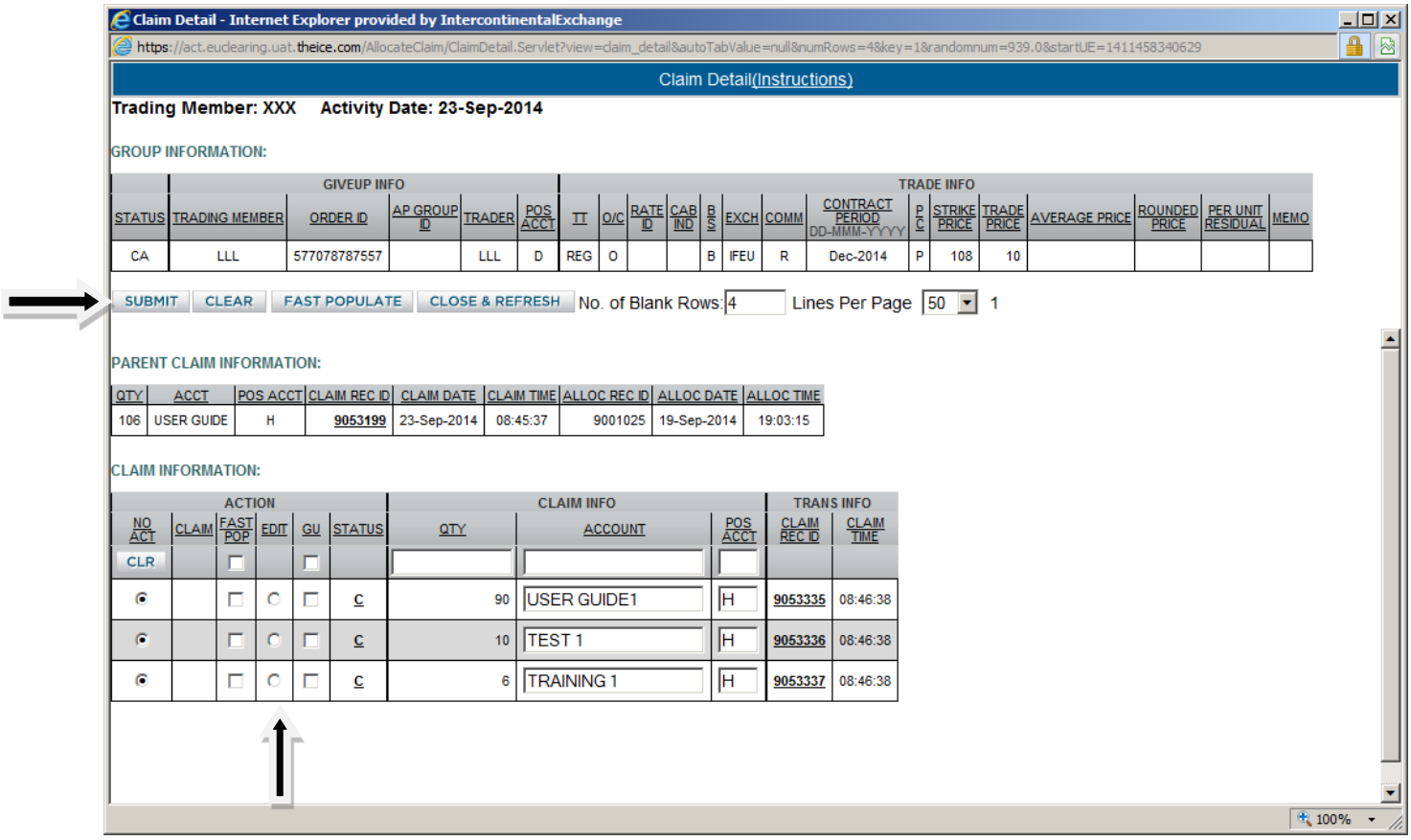
2. Click the **Submit** button to save the mass updates.

7.7 Modifying a Single Give-Up Transaction Sub-Claimed into Multiple Accounts

1. Navigate to the Claim screen.

2. Within the Claim screen, click the Go link that appears next to the applicable claim record.

3. The Claim Detail screen will open.


Claim Detail - Internet Explorer provided by IntercontinentalExchange
https://act.euclearing.uat.theice.com/AllocateClaim/ClaimDetail.Servlet?view=claim_detail&autoTabValue=null&numRows=4&key=1&randomnum=939.0&startUE=1411458340629
Claim Detail(Instructions)
Trading Member: XXX Activity Date: 23-Sep-2014
GROUP INFORMATION:
GIVEUP INFO
TRADE INFO
STATUS | TRADING MEMBER | ORDER ID | AP GROUP ID | TRADER | POS ACCT | TT | O/C | RATE ID | CAB IND | B S | EXCH | COMM | CONTRACT PERIOD DD-MMM-YYYY | P C | STRIKE PRICE | TRADE PRICE | AVERAGE PRICE | ROUNDED PRICE | PER UNIT RESIDUAL | MEMO
CA | LLL | 577078787557 | | LLL | D | REG | O | | | B | IFEU | R | Dec-2014 | P | 108 | 10
SUBMIT CLEAR FAST POPULATE CLOSE & REFRESH No. of Blank Rows: 4 Lines Per Page 50 1
PARENT CLAIM INFORMATION:
QTY | ACCT | POS ACCT | CLAIM REC ID | CLAIM DATE | CLAIM TIME | ALLOC REC ID | ALLOC DATE | ALLOC TIME
106 | USER GUIDE | H | 9053199 | 23-Sep-2014 | 08:45:37 | 9001025 | 19-Sep-2014 | 19:03:15
CLAIM INFORMATION:
ACTION
CLAIM INFO
TRANS INFO
NO ACT | CLAIM | FAST POP | EDIT | GU | STATUS | QTY | ACCOUNT | POS ACCT | CLAIM REC ID | CLAIM TIME
CLR
C | 90 | USER GUIDE1 | H | 9053335 | 08:46:38
C | 10 | TEST 1 | H | 9053336 | 08:46:38
C | 6 | TRAINING 1 | H | 9053337 | 08:46:38
100%

4. Click the Edit button next to the claim record that needs to be updated. Update applicable Account and Pos Account information.

5. Click the Submit button to save changes.

8 APPENDIX 1 – PTMS/ACT CODES

PTMS Code	Description	Workflow
UA	Allocated Transfer	Create Transfer
UAC	Unmatched/Allocated/Challenged Transfer	'To' Member Challenges Transfer Before Acceptance
MAA	Matched/Allocated/Accepted	'To' Member Accepts Trade/Transfer
MAC	Matched/Allocated/Challenged	'To' Member Challenges Transfer After Acceptance
CNL	Cancelled Transaction	'From' Member Cancels Trade/Transfer
ACT Code	**Description**	**Workflow**
A	Allocated	Group is allocated/Un-claimed allocation
C	Claimed	Claim Allocation
CA	Sub Claimed	Sub-Claim a Claim Record
CRV	Confirmed Reverse	Accept a Reversal
UDA	Under Allocated	Under-allocate Group (Sum of Allocation Qty<Group Qty)
UDC	Under Claimed	Under-claimed Group (Sum of Claim Qty<Group Qty)
OVA	Over Allocated	Over-allocate Group (Sum of Allocation Qty>Group Qty)
REJ	Rejected (REJ)	Reject Allocation
RRV	Initiated Reverse (RRV)	Request Reversal of a Claimed Allocation
UA	Unallocated (UA)	Group is un-allocated (Allocation Qty="0")
ACT Code	**Description**	**Workflow**
UC	Unclaimed	Un-claimed Pending Allocation